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UNIDOS DE AMÉRICA

UVG

UNIVERSIDAD
DEL VALLE
DE GUATEMALA

Observatorio Económico Sostenible

FINAL PERFORMANCE REPORT

SEPTEMBER 2016 – MARCH 2020

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In collaboration with:



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1. PROJECT OVERVIEW

Program Name:	SUSTAINABLE ECONOMIC OBSERVATORY
Activity Start Date And End Date:	09/27/2016 to 03/31/2020
Name of Prime Implementing Partner:	Universidad del Valle de Guatemala
[Contract/Agreement] Number:	AID-520-A-16-00006
Name of Sub awardees:	<ul style="list-style-type: none"> - Asociación de Investigación y Estudios Sociales -ASIES- (Association for Research and Social Studies) - Fundación de la Caficultura para el Desarrollo Rural (Coffee Grower Foundation for Rural Development) -FUNCAFE- - Research Triangle Institute –RTI-
Geographic Coverage (cities and or countries)	Guatemala, City; 5 departments of the Western Highlands (Quetzaltenango, San Marcos, Totonicapán, Huehuetenango, Quiché) and the Maya Biosphere Reserve at Petén.
Reporting Period:	FY 1 - FY 4
Date:	February 28, 2020.

2. ACRONYMS

ACOFOP	Asociación de Comunidades Forestales de Petén
AGG	Asociación de Gerentes de Guatemala
ANACAFE	Asociación Nacional del Café
AGEXPORT	Asociación Guatemalteca de Exportadores
ASIES	Asociación de Investigación y Estudios Sociales
AOR	Agreement Officer Representative
AWP	Annual Work Plan
BIOFIN	Biodiversity Finance
CAMAGRO	Cámara del Agro
CCIPPP	Centro de Capacitación, Innovación y Producción Popoyán
CDCS	Country Development Cooperation Strategy
CLD	Communities Leading Development
CEAA	Centro de Estudios Agrícolas y Alimentarios
CEAB	Centro de Estudios Ambientales y de Biodiversidad
CIAT	Centro internacional de agricultura tropical
CNMC	Consejo Nacional de Mesas de Competitividad
COCOSAN	Comité comunitario de Seguridad alimentaria y nutricional
COFETARN	Comisión de Fomento Económico, Turismo, Ambiente, Recursos Naturales
COMUSAN	Comisión de Seguridad Alimentaria y Nutricional
CONASAN	Consejo Nacional de Seguridad Alimentaria y Nutricional
COP	Chief of Party
CSO's	Civil Society Organizations
CRS	Catholic Relief Services
DCI	Department of Civil Engineering
DEL	Desarrollo Económico Local
DICORER	Dirección de Coordinación Regional y Extensión Rural del Ministerio de Agricultura, Ganadería y Alimentación.
DITA	Dirección de Información y Tecnología para el Aprendizaje
DO	Development Objective
EEA	Environmental Economic Agenda
EU	European Union
FSMA	Food Safety Modernization Act
FNS	Food and Nutrition Security
FTF	Feed the Future
FUNCAFE	Fundación de la Caficultura para el Desarrollo Rural

FUNDESA	Fundación para el Desarrollo Socioeconómico del Alto Aragón
FY	Fiscal year
GCC	Global Climate Change Initiative
	Global Food Security Strategy of the United States
GFSS	Government
GHG	Greenhouse Gases
GIS	Geographic Information System
GOG	Government of Guatemala
HEP+	Health and Education Plus Project
IDB	Interamerican Development Bank
	Instituto Interamericano de Cooperación para la Agricultura
IICA	
INE	Instituto Nacional de Estadística
INFOM	Instituto de Fomento Municipal
INTECAP	Instituto Técnico de Capacitación y Productividad
	School-Children Feeding Law (Ley de Alimentación Escolar)
LAE	Proyecto de Desarrollo con Bajas Emisiones en Guatemala
LEDS	Maestría en Desarrollo de la Universidad del Valle de Guatemala
MAEDES	
MAGA	Ministerio de Agricultura, Ganadería y Alimentación
MARN	Ministerio de Ambiente y Recursos Naturales
MINECO	Ministerio de Economía
MINEDUC	Ministerio de Educación
MINFIN	Ministerio de Finanzas Públicas
MOUs	Memorandum of Understanding
MOE	Ministry of Education
MSPAS	Ministerio de Salud Pública
NGOs	Non-governmental organizations
NIE	National Innovation Ecosystem
OIRSA	Organismo Internacional Regional de Sanidad Agropecuaria
OPF	Organización de padres de familia
OMDEL	Oficina Municipal de Desarrollo Económico Local
PAFFEC	Programa de Agricultura Familiar para el Fortalecimiento de la Agricultura Campesina
PIPAA	Programa Integral de Protección Agrícola y Ambiental
POLSAN	Política Nacional de Seguridad Alimentaria y Nutricional
PRONACOM	Programa Nacional de Competitividad
RBM	Reserva de la Biósfera Maya
RFA	Request for application
RNGG	Red Nacional de Grupo Gestores

RRF	Rapid Response Fund
SAT	Superintendencia de Administración Tributaria
SEGEPLAN	Secretaría de Planificación y Programación de la Presidencia
SEOP	Sustainable Economic Observatory Project
SESAN	Secretaría de Seguridad Alimentaria y Nutricional
SIECA	Secretaría de Integración Económica Centroamericana
SNITA	Sistema Nacional de Innovación y Tecnología Agrícola
SPS	Sanitary and Phytosanitary
TNC	The Nature Conservancy
TORs	Terms of References
UNDP	United Nations Development Program
USAID	U.S. Agency for International Development
USDA	U.S. Department of Agriculture
USG	United States Government
UVG	Universidad del Valle de Guatemala
WB	World Bank
WEF	World Economic Forum
WP	Work Plan
WWF	World Wildlife Fund

3. EXECUTIVE SUMMARY

This final report presents the results and challenges that the Sustainable Economic Observatory Project - SEOP- achieved during the three and a half years of project implementation. The SEOP established strong relationships with partners, key civil society actors, the public and private sectors, as well as with research centers within the University of Del Valle –UVG- that resulted in several project proposals. It achieved key alliances by signing 15 memoranda of understanding with different key actors from the public and private sectors.

During the life of the project, it developed a reputation for including key public policy issues, transparency in his approach, and responsible technical research. It provided civil society with access to research agendas and development issues, such as Guatemala's innovation ecosystem, municipal plans for food security, water governance, innovation in agriculture, and other development priorities. As it ends, in the closing phase, the perception surveys and a benchmark analysis present positive comments and strong support from key actors for the continuation of the activities of the SEOP.

The SEOP characterized by its flexibility and high capacity to adapt to the different situations that arose at the national level and the changes in allies, especially in the Government of Guatemala; the guidelines received from USAID; the strategic lines of UVG and its partners such as ASIES and FUNCAFE. As well as, for the strategies designed to make proposals that were more effective for the development of public policy. Thus, the project's approaches changed in the sense of achieving results and meeting USAID's budget goals and administrative procedures at UVG

The implementation based on an execution per project, as a work unit, facilitated a better focus on results, as well as improving budget execution, since this approach allowed greater coordination with partners, at the technical and administrative level. Likewise, the connection with research centers and faculties of the Universidad del Valle was achieved, which represented a more significant advance during the second year.

During the period from October 2018 to September 2019, several changes modified the original proposed work plan due to some situations that were beyond the project's control. First, the original plan to work with candidates and government officials to carry out the advocacy had to be redesigned due to an official USAID request that required distancing itself from political-electoral activity. Second, the shutdown of the United States government occurred in the first and second quarter. Third, said shutdown led to the projects anticipating their closure, a situation that became official during the fourth quarter of the project.

The SEOP had to redesign its strategies to achieve the positioning of the main proposals in each topic, but it was not only based on USAID guidelines but also due to limitations in working with the Government of Guatemala as a consequence of the electoral process. This made their ability to compromise even more difficult. Therefore, some initiatives, such as working groups made up of various organizations, had to be promoted jointly with civil society and other important stakeholders other than Guatemalan government officials. Fortunately, those participatory workspaces and their progress were well accepted and supported by SEOP partners.

For the period from October 2019 to March 2020, the SEOP designed a contingency plan to implement activities for six months. Because in the Foreign Assistance Framework of the United States Government declared that the project would not receive additional funds due to instructions issued by the State Department on their foreign assistance to Guatemala and the other countries of the Northern Triangle.

Therefore, the SEOP work strategy for that period prioritized activities that had the greatest impact on public policies that had an impact on improving the population's income and contributed to the reduction of migration, by focusing on the components and activities initiated and consolidated by the project. Also, considering the funds available for its closing. The work focus included the themes of Food and Nutritional Security and its link with the theme of water; Competitiveness that focused on innovation, and the consolidation of the project as a research center within the Universidad del Valle de Guatemala –UVG-. In addition, a company was contracted to audit the project during the period from January 1, 2018 to March 31, 2020.

At the end of the third quarter, the SEOP will start operating as a relevant research center with its own structure at UVG, because the University authorities have taken this early closure challenge as an opportunity, and the SEOP will become a research center and will promote research in competitiveness, innovation, food and nutrition security, climate change, and water governance. It will also leverage existing research by the university in these fields to achieve development objectives, so it will focus on the implementation of financially sustainable development programs.

4. RESUMEN EJECUTIVO

Este informe final presenta los resultados y desafíos que el Proyecto Observatorio Económico Sostenible -SEOP- logró durante los tres años y medio de implementación del proyecto. El SEOP estableció sólidas relaciones con los socios, los actores clave de la sociedad civil, sector público y privado, así como con centros de investigación dentro de la Universidad de Del Valle –UVG- que dieron como resultado varias propuestas de proyectos. Logró alianzas clave mediante la firma de 15 memorandos de entendimiento con diferentes actores clave del sector público y privado.

Durante la vida del proyecto, desarrolló una reputación de inclusión de temas clave de política pública, transparencia en su enfoque e investigación técnica responsable. Facilitó a la sociedad civil el acceso a agendas de investigación y temas de desarrollo, tales como, el ecosistema de innovación de Guatemala, planes municipales para la seguridad alimentaria, la gobernanza del agua, innovación en agricultura y otras prioridades de desarrollo. A medida que termina, en la fase de cierre, las encuestas de percepción y un análisis de referencia presentan comentarios positivos y un fuerte apoyo de actores clave para la continuidad de las actividades del SEOP.

El SEOP se caracterizó por su flexibilidad y alta capacidad de adaptación a las diferentes situaciones que se presentaron a nivel nacional y los cambios en los aliados, especialmente en el Gobierno de Guatemala; las directrices recibidas de USAID; las líneas estratégicas de UVG y sus socios como ASIES y FUNCAFE. Así como, por las estrategias diseñadas para hacer propuestas que fueran más efectivas para el desarrollo de la política pública. De esa manera, los enfoques del proyecto cambiaron en el sentido de alcanzar los resultados y cumplir con las metas presupuestarias de USAID y los procedimientos administrativos en UVG.

La implementación respondió a una ejecución por proyecto, como unidad de trabajo, lo que facilitó enfocarse mejor en los resultados, así como mejorar la ejecución presupuestaria, ya que este enfoque permitió una mayor coordinación con socios, a nivel técnico y administrativo. Así mismo, se logró la vinculación con centros de investigación y facultades de la Universidad del Valle lo que representó un avance más significativo durante el segundo año.

Durante el período de octubre 2018 a septiembre de 2019, varios cambios modificaron el plan de trabajo original propuesto debido a algunas situaciones que estaban fuera del control del proyecto. En primer lugar, el plan original de trabajar con candidatos y funcionarios del gobierno, para realizar la incidencia, tuvo que ser rediseñado debido a una solicitud oficial de USAID que requirió distanciarse de la actividad política-electoral. Segundo, el cierre del gobierno de los Estados Unidos ocurrió en el primer y segundo trimestre. En tercer lugar, dicho cierre derivó en que los proyectos anticiparan su cierre, situación que se oficializó durante el cuarto trimestre del proyecto.

El SEOP tuvo que rediseñar sus estrategias para lograr el posicionamiento de las principales propuestas en cada tema, pero no solo se basó en las pautas de USAID sino también debido a las limitaciones en el

trabajo con el Gobierno de Guatemala como consecuencia del proceso electoral. Esto hizo aún más difícil su capacidad para alcanzar compromisos. Por lo tanto, algunas iniciativas, como los grupos de trabajo conformados por diversas organizaciones, tuvieron que ser impulsadas conjuntamente con la sociedad civil y otras partes interesadas importantes diferentes de los funcionarios del Gobierno de Guatemala. Afortunadamente, esos espacios de trabajo participativos y sus avances fueron bien aceptados y apoyados por los socios de SEOP.

Para el período de octubre 2019 a marzo 2020, el SEOP diseñó un plan de contingencia para implementar actividades durante seis meses, debido a que en el Marco de Asistencia Extranjera del Gobierno de los Estados Unidos declaró que el proyecto no recibiría fondos adicionales debido a instrucciones emitidas por el Departamento de Estado sobre su asistencia extranjera a Guatemala y los otros países del Triángulo del Norte.

Por lo tanto, la estrategia de trabajo del SEOP para ese período, priorizó las actividades que tuvieran el mayor impacto en aquellas políticas públicas que incidieran en la mejora de los ingresos de la población y contribuyeran a la reducción de la migración, al enfocar los componentes y actividades iniciadas y consolidadas por el proyecto. También, considerando los fondos disponibles para el cierre del mismo. El enfoque de trabajo incluyó los temas de Seguridad Alimentaria y Nutricional y su vinculación con el tema de agua; la competitividad que se centró en la innovación, y la consolidación del proyecto como centro de investigación dentro de la Universidad del Valle de Guatemala –UVG-. Además, se contrató a una empresa para que realice la auditoría del proyecto durante el período del 1 de enero de 2018 al 31 de marzo de 2020.

A finales del tercer trimestre, el OES comenzará a funcionar como un centro de investigación relevante con estructura propia en UVG, debido a que las autoridades de la Universidad han tomado este desafío de cierre anticipado, como una oportunidad, y el OES se convertirá en un centro de investigación y fomentará la investigación en competitividad, innovación, seguridad alimentaria y nutricional, cambio climático, y gobernanza del agua. También apalancará la investigación existente por la universidad en estos campos para lograr objetivos de desarrollo, por lo que se enfocará en la implementación de programas de desarrollo financieramente sostenibles.

5. PROJECT DESCRIPTION / INTRODUCTION

The Sustainable Economic Observatory Project –SEOP- has the purpose to strengthen civil society engagement at national and local levels for a more effective advocacy role to advance public policies and programs that foster sustainable economic and social development. The purpose of the SEOP is to contribute to the well-being and development of the people of Guatemala by strengthening civil society engagement at national and local levels for a more effective advocacy role to advance public policies and programs that foster sustainable economic and social development.

The Project contributes to the achievement of the objectives of Feed The Future -FTF- and Guatemala Climate Change -GCC- initiatives, which are directly linked to the USAID/Guatemala CDCS FY 2012-2017, DO2 and DO3. This Project supports the GCC initiative through interventions to build civil society awareness and capacity to study, monitor and advocate for the advance of environmental issues related to climate change. It also works with the private sector to engage them in activities to reduce poverty and chronic malnutrition, as well as to support actions and changes to improve competitiveness and the business-enabling environment.

The Project aims to give voice and support to Guatemalan civil society for advocating the advancement of the GOG initiatives that promote economic development. A range of approaches including, but not limited to, research and analysis of the impacts of policy proposals, information dissemination and capacity building of civil society organizations for advocacy, leadership and participation in decision-making, social auditing, policy dialogue and multi-sector coordination.

The Goal of the Project: To foster largely participatory, evidence-based dialogue on Guatemala's salient rural development needs and on solution options that will benefit all sectors equitably, especially vulnerable populations.

Objective: Establish a Sustainable Economic Observatory as an independent research center within the Universidad del Valle de Guatemala, to strengthen the participation and contribution of civil society, public and private sectors and other partners in dialogue, analysis, design and implementation of effective policies and programs, at both national and local levels. The Observatory will focus on four key development topics: (1) food and nutrition security; (2) agriculture sector development; (3) environment, climate change, and biodiversity conservation; and (4) competitiveness and business enabling environment.

By the end of year 4, the Sustainable Economic Observatory will be operating as a relevant, independent and well-governed UVG Research Center. A center capable of making significant contributions to Guatemala's sustainable economic development focusing in four key topic areas and with a sustainability plan to continue operating by its own, when the project ends.

6. ACCOMPLISHMENT ACHIEVED BY COMPONENT

In this section is included a list of the main achievements by component, since the SEOP worked under a structure of components as follows:



Figure 1: Components of the SEOP as the program description.

On July 2018, the SEOP's strategic plan formulation proposed only three components. It recommended consolidating components 2 and 4. Therefore, the Multi-annual Strategic Plan consisted of three organizational results that are a response to the three critical factors found in a causal networks analysis. These are factors related to the weaknesses of the State -CSO-private business sector dialogue. Thus, each result tries to build solutions to the following critical networks:

- Network 1. SEOP lacking sufficient capacities for production and dissemination of evidence-based public policy proposals;
- Network 2. Limited capacity of civil society-private sector to formulate joint proposals based on evidence in areas prioritized by the SEOP;
- Network 3. Institutions responsible for the areas prioritized by the SEOP with limited use of scientific evidence in the public policy cycle.

Following this, just for practical purposes, it was formulated a scheme that is linked to that three organizational results or work components. Since FY3 the results of the SEO planned for that year were aligned to the strategic plan formulated in year two for the project. The scheme followed was:

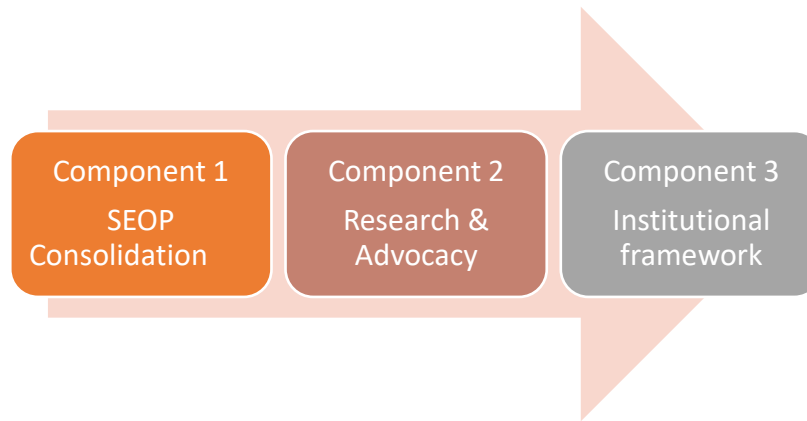


Figure 2: Components of the SEOP linked to its strategic plan.

In this final report, that approach was applied to present the main achievements.

The SEOP had a flexibility and high capacity of adaptation to different situations related to the national country's context and the changes in the allies especially in Government of Guatemala, the guidelines received from USAID, the strategic lines of UVG and its partners, as well as by the strategies took to make proposals that are more effective, etc. In that way, the implementation approaches varied among FY1, FY2 and FY3 in the sense to achieve the results and comply with the budget pipelines and administrative procedures in UVG. As a result,

FY 1, focused on components 1 and 2: to establish a sustainable SEO and to define a Research Agenda. The establishment of the SEO implied two main activities, the remodeling of the formal and administrative structure and the elaboration of the Issues Agenda.

In FY2, the Project introduced an innovative approach to promote sustainable economic development through civil society, engagement and advocacy to advance national public policies and programs. The activities identified and prioritized were results of the Issues and Research Agendas, and related to each of the identified key topics. Also other activities were addressed to provide proposals for macro systems linked directly to Guatemala's public administration matters. The purpose was to serve as a source of scientific evidence to define a Policy Agenda including the proposals for public policies, programs, laws, etc. for decision makers. In addition, the project defined its own communication and activities addressed to strengthening capacities in civil society, using participative methodologies.

In FY3 SEOP, proposed to emphasize for the civil society advocacy to support the proposals contained in the SEOP's Policy Agenda through capacity building in awareness, analysis, advocacy and social audit. Generated evidence through the implementation of a Research Agenda and the participation of strategic partners, and institutional strengthening. A scheme linked to the three work components was aligned to the strategic plan formulated in the previous year. Each component had several lines of research aim to strengthen advocacy actions to influence one or several policy objectives. Then, in the third quarter, the instructions received from USAID to first delay, then halt activities, and finally stop all new projects, due the announcements by the US Government that there will be no more additional funds, led to a notorious

decrease in the SEOP activities. The actions taken were to focus on finish ongoing projects and decrease advocacy activities and relations with Government of Guatemala -GoG-, specifically with the executive branch, as well as with municipal officials, as stated in the guidance for USAID Guatemala (sent in February 2019) during the electoral processes.

The FY4 reflected the actions of closing the SEOP in UVG and the last actions made by partners as well. The results focused on the sustainability plan for the SEOP. The emphasis was on those activities that have a larger impact on improving family income and livelihoods, like Food and Nutrition Security; Innovation and competitiveness, and environment with emphasis in water. Also the completing of the main activities of closure as: completion of subgrants; transferring equipment to UVG and partners; finalization of contracts with staff, consultants and service providers. As well as to prepare the SEOP's transition as a Research Center within the UVG. During its first quarter, the UVG played a more important role in the definition of the SEOP as a new research center within the university.

Following, the report presents the main results by component, including a brief description of activities, accomplishments, shortcomings and difficulties found during its three-year period implementation.

6.1.Component 1: Consolidation of the SEOP

8.1.1. *The Sustainable Economic Observatory constituted and consolidated*

For the purposes of initiating the activities of the SEO, in the beginning of FY1, the key staff and other technical personnel was hired. Once established the SEO managerial and technical team, the next step was the formulation of the Annual Work Plan with the full activities, intermediate results (outcomes) and its respective outputs and budget, which were aligned with the Program Description

The startup of the SEOP included many tasks related to administrative procedures, to find out guidelines and make the coordination with UVG human resources staff and the UVG's financial administration. The SEOP also formulated these tools:

- A. Policy on "Equality on Gender, Indigenous and Youth" with a three-year plan; its implementation started with two workshops addressed to staff, partners and consultants. In year three, the actions were addressed to include an intersectional approach. Three workshops were implemented for building capacity and understanding of this approach.
- B. Guidelines for the procedures of procurement and payments of supplies applied to collaboration agreements with partners, approved by UVG.
- C. Guidelines to formulate the analysis for Issues and Research agendas and its validation processes were developed. The SEOP systematized its own methodology.
- D. Grants Manual and Rapid Response Fund Guidance.

The communication specialist created the internet platform including web page and its hosting. In addition, it has been already elaborated public pages in the following social networks:

- ✓ Facebook <https://www.facebook.com/SEOPGT/>
- ✓ Twitter [@OESGT](https://twitter.com/OESGT)
- ✓ Flickr www.flickr.com/photos/oesgt

The consolidation of the SEOP started with a benchmarking of similar entities. That benchmarking analysis included the best practices and processes of organizations around the world and in Guatemala. The references of existing think tanks and observatories, included the review of their structure, functions, best practices and success factors, it provided a base platform to improve the performance of the SEO. Afterwards, a legal analysis identified three options to make the SEOP a sustainable organization. The legal consultant made two presentations with the SEOP technical committee and UVG authorities, in order to evaluate the most convenient alternative for the project. Finally, the UVG decided that the SEOP will start operating as a relevant research center with its own structure at UVG, and will become a research center and will promote research in competitiveness, innovation, food and nutrition security, climate change, and water governance.

Another important step was to hire the main consultants to formulate the issues and research agendas:

- Main consultant to Coordinate the elaboration and validation of the thematic agenda and research agenda of SEO – Linda Asturias de Barrios with the technical support of Luisa María Mazariegos, prepared the work plan and the methodology for the Issue and Research Agendas. These agendas defined the main activities developed by SEOP and its partners for fiscal year one.

During the life of the SEOP, the key senior consultants that built the agendas were:

- Food security specialists– Jorge Lavarreda Gargollo, and Mónica Orozco.
- Environmental Research Specialists - Rodolfo Cardona Mansilla, Mónica Orozco and Andrea Nájera.
- Agricultural Development Sector Specialists - Renato Vargas and Waleska Aldana.
- Competitiveness Research Specialists Rodrigo Méndez Maddaleno and Andrés Carranza.

The main consultants with the support of the key senior consultants worked to develop the preliminary version in each of the four topics. The methodology included the following activities:

- ✓ A Policy Gap Analysis carried out for each one of the four topics. During the formulation of the gap analysis in public policies, consultants implemented focus groups in order to get inputs to improve the research made in each topic.
- ✓ A presentation made by each consultant on policy gap analysis by topic, including the results of the consultation workshop with experts, had the purpose to receive feedback from directors of Centers in UVG and their research teams.
- ✓ The regulatory gap and policy gap analysis were both part of the Issues Agenda. Consequently, in order to integrate its results, the consultants formulated a preliminary version, that was presented and validated by focus groups, and the Directors and Deans of UVG.

- ✓ The consultants developed a revised version by topic, and made a presentation that was discussed with the consortium of the SEOP. The inputs provided were useful to prepare a final version by topic. The main consultant delivered the integrated version of the SEO's Issues Agenda for its validation within focus groups.



Focus groups to validate Issues Agenda. July25, 2017

Several meetings were held to present SEOP's agendas to stake holders. The attendees of those meetings expressed their high expectations to participate and form alliances with SEO because they see it as an appropriate space to advance in the advocacy processes and for new proposals formulations. In year two, 15 of them signed MOUs with the SEOP to continue working as partners in specific topics.

However, an important challenge for the SEOP was to coordinate actions with public sector, due to the high turnover on officials, directors and technical personnel, as well as the lack of decision-making and participation of the government offices to engage in the main issues or the SEO agendas.

Also as members of an expert staff, the SEO included two Directors from research centers in UVG, and a Master Program Director, part of their time was covered with SEO's budget. The Dean of the Research Institute, Dean of Engineering and Dean of Social Studies Faculties were part of the SEOP as cost share.

All of them have dedicated a specific period in UVG for their expert advice, prioritization of issues and policies, as well as revisions of preliminary documents, along with their participation in building SEO structure and supporting technical assistance during the life of project. A steering committee was conformed to support SEOP implementation and conformed by those experts.

8.1.1. *Making the SEO known*

Related to the actions addressed to engage potential stakeholders in the project's objectives and approaches, the project reported a series of meetings to present the SEOP and to engage key stakeholders from different national and international organizations. Meetings took place also with public and private organizations related to each topic, in order to inform key stakeholders and identify potential allies with the Project objectives and its sustainability approach. Most of the meetings were performed by the COP accompanied by other SEO staff through personal visits held on organizations' offices.

In FY1, the SEOP made the launch event, in coordination with USAID and UVG, preparing the logistics for that and for a press conference. This was the main event to communicate and inform to most of the organizations in the country related to the topics and agenda of the SEO, about its objectives and future work in Guatemala. Attended by 110 participants from public and private sector, academia, think tanks, civil society organizations, international cooperation, it was given a wide media coverage.



8.1.1. *Agreements for sub-awards and grants*

Related to consolidate the structure and membership of the SEO, the priority of year one was to accomplish the Sub-awards with ASIES, FUNCAFE, RTI, and sub-grants with Red Nacional de Grupos Gestores - RNGG-, Universidad Rafael Landívar -URL and Sotz'il.

The USAID/SEOP is the first UVG's project where the university is the prime awardee under an USAID's cooperative agreement. For that reason, in this period the SEO administrative team has dedicated a lot of time to establish new administrative and financial written procedures for the management of the sub-awards, which had to be reviewed and approved by the UVG Projects Administration Direction (DAP), Finance and Procurement departments, and Administrative Direction¹.

The actions achieved were the following:

- The first sub-award signed on June 1, 2017 was with the Fundación de la Caficultura para el Desarrollo Rural -FUNCAFE- (Foundation of Coffee Growers for Rural Development). To start activities, the

¹ Vicerrectoría Administrativa

SEO team prepared a startup meeting held on June 2, 2017, to give guidelines and present to FUNCAFE the branding & marking plan, the indicators of the monitoring & evaluation plan, as well as review the main administrative and financial aspects to be accomplished by this partner.

- The second sub-award signed on June 15, 2017 was with the Asociación de Investigación y Estudios Sociales -ASIES- (Research and Social Studies Association).
- The third sub-award signed on July 12, 2017 was with RTI.

In the first year, the major challenge was the start of the grants agreements process with consortium partners, due to the deadlines to meet. The first step that SEO staff took was to prepare the instruments for agreements formalization, as well as create the annexes like the scope of work. Another challenge was at that moment that the SEOP had limited advance to define and establish the monitoring and evaluation system due the M&E Plan was pending of approval by USAID. Nevertheless, the staff worked in the formulation of indicators and monitoring tools.

The main implementation challenge in FY1, was the overlap between the USAID and the UVG payments system. The specific challenge is that USAID's disbursements are made for a calendar month. The disbursement report is expected at the end of the month, in this period the settlement of all the payment transactions has to be finished. Nevertheless, the UVG system extends up to 60 days for payment transactions; the length of the transactions does not match the delivery times required by USAID. That situation derived in delays in the execution of funds. Furthermore, there was a delay in complying with the annual planning for all SEOP's partners, due to the amount of time dedicated to administrative processes.

This was part of the reasons for the delay in the start of the grants agreements process with consortium partners, reported in the second quarter of that year.

6.2.Component 2: Research and Advocacy

The SEOP's achievements, by topic and prioritized actions.

8.1.1. *Agricultural Sector*

A. Support the evaluation of the Program PAFFEC².

The support to PAFFEC (Family Agriculture and Strengthening of the Peasant Economy) was coordinated with officials in the Ministry of Agriculture –MAGA- in order to implement a strategy to strengthen their processes. The proposal was to emphasize in the actions that MAGA had entitled to perform and had prioritized, which are their role in the School Feeding Law and the social audit of the PAFFEC. After two meetings, the first one performed with the Ministry of Agriculture –MAGA-, and with the minister's advisor Roberto Chávez, it was agreed that the SEOP would support the design of the PAFFEC and conduct the social audit, as well as support in the Sanitary and Phytosanitary –SPS- measures.

² Programa de Agricultura Familiar para el Fortalecimiento de la Economía Campesina.

Due the linkage of the School-Children Feeding Law (in Spanish: LAE³) with the PAFFEC, the MAGA required technical support from the SEOP, in order to fulfill their obligations stated in the new regulation. That included the design and implementation of an administrative process by MAGA for a national farmers register with an updated database in order to track peasants and small producers who can become suppliers for local public schools. The LAE intends to use the PAFFEC register to identify local suppliers who can sell to schools and Family Parents Organizations (in Spanish: OPF⁴) to boost local economies. In other words, MAGA must deliver the PAFFEC records of family farmers to MINEDUC, so that OPFs can identify possible local food suppliers.

Some of the actions during the first part of the second year addressed, especially to support the register into the PAFFEC implemented by the Ministry of Agriculture MAGA. The SEOP supported the MAGA with various actions.

Although, difficulties arose when the Ministry was not able to establish a work discipline that would advance in the results expected. During the coordination meetings with MAGA officers, it was identified that this support requirement was not all clear. The process to register those producers who can truly participate in the program and sell food to public schools, was very weak as well as the formulation of a critical route for the activities, arguing that due the LAE's statutory provisions have not been approved, there were no funds for its execution.

Nevertheless, the work continued in supporting MAGA staff. Derived from the agreements with them, a series of three workshops were held with the participation of the directors and technical staff of the Regional Coordination and Rural Extension Directorates, DICORER; the Vice Ministry of Food and Nutrition Security, VISAN; the Directorate of Cooperation, Projects and Trusts DCPF; and the IT Department of MAGA. In the workshops, there were discussions about the bottlenecks that prevent MAGA from fulfilling its obligations with the LAE and, at the same time, the participants proposed solutions that would reinforce the ministry's institutionality.

However, by the end of the first quarter, the objectives were not accomplished, and the process with MAGA reached a standstill, due to two facts:

- The Vice ministry of Rural Development –VIDER- informed that FAO has prompted a subcommittee for LAE and will begin with the definition of a critical route. That meant to start from zero again, since the SEOP has already made this, as well as the draft for the electronic form to be implemented in the registry.
- The minister's advisor said that fear from prosecution (a situation very complicated in the public sector context in 2018) has derived in a lack of action from all the Ministry's departments. The preliminary register was not yet consolidated and filtered. Therefore, the information contained does not enable to identify local food suppliers for schools. In the last Registry showed by MAGA

³ Ley de Alimentación Escolar LAE

⁴ Organizaciones de padres de familia OPF

there was included a lot of coffee and cardamom producers, both products are not of interest for schools. MAGA showed a general lack of interest in accomplishing any of its programs.



Meeting in MAGA with Advisors and Department Directors to review PAFFEC. January 8, 2018

B. Evaluation of the School Feeding Law⁵ through local actors and partners of the SEO.

It was made a process map for the School Feeding Program and the main achievement was a proposal for the Regulation of the Law Decree 16-2017 and a Governmental agreement of Ministry of Education No. 183-2018. Guatemala, October 26, 2018.

The evaluation of the LAE was focused with Ministry of Education –MINEDUC–, since MINEDUC is the institution in charge of its implementation, and it was a positive experience. The analysis of the law consisted on the revision of each of its 47 articles; a link was made with the equivalent articles of the regulation to identify the responsible dependency for each action. A regulation chart summed up the information including the planned actions for each of the MINEDUC dependencies.

The consultant hired, Miriam Castañeda designed and socialized the macro-processes and processes identified in the analysis of the law with MINEDUC directors, on a workshop held June 1st, 2018. Among the attendees were:

- *Dirección de Administración Financiera*
- *Dirección de Desarrollo y Fortalecimiento Institucional*
- *Dirección General de Participación Comunitaria y Servicios de Apoyo*
- *Dirección de Fortalecimiento de la Comunidad Educativa*
- *Dirección de Planificación Educativa*
- *Dirección General de Currículum*
- *Facultad de Agronomía de la USAC*
- *Dirección de Educación del Departamento de San Marcos*

⁵ Ley de Alimentación Escolar LAE

- *Dirección de Asesoría Jurídica del MINEDUC*
- *Asesores del vice-despacho Administrativo de Educación*
- *Asesores del vice-despacho de Diseño y Verificación de la Calidad Educativa*

Miriam Castañeda interviewed some of the MINEDUC directors and she concluded that most of them barely knew the law and its consequences. It is imperative that the operative directors of the ministry are in tune with the law. The main objective of the exercise was to ensure that the version transferred to the office of the Minister was inclusive, within the Ministry. That is, to be able to involve the MINEDUC team with the processes of implementation of the law and therefore, identify and feel part of the program.

The analysis made concluded that the Ministry of Education must designate a director in charge to coordinate the School Feeding Program. It is to emphasize that given the nature of the program, which involves administrative, planning, financial, community participation, monitoring and evaluation activities, it is necessary to analyze and establish a route that facilitates coordination among different agencies related to the law, both inside and outside of MINEDUC. It was also very important to carry out a documentary review of the internal regulations of the dependencies that participate in the execution of the school feeding program, to know the level of competence of each one when executing or implementing the new law.



Workshop for the LAE review, Guatemala, Ciudad June 2018

The analysis and insights of the directors were presented to the Vice-minister of Education Administration and the Vice-minister of Education Quality Verification, who described the collaboration as central for the successful implementation of the School Feeding Program, emphasizing the importance of working as a team.

As a main achievement of the SEOP, is that the Regulation for the law was approved with the Government Agreement No. 18-2018 and stipulates that other Government Ministries share responsibility in the execution of the Program. The law designates MINEDUC as the governing dependency entitled with the creation of a regulation that clearly defines the responsibilities of each key.

C. Sanitary and Phytosanitary (SP) measures for plant and animal health in Guatemala.

The SEOP made a proposal for a Government Agreement to create a technical commission constituted by Ministry of Agriculture, Ministry of Health and Ministry of Economy (MAGA-MSPAS-MINECO) and coordinated by the National Competitiveness Program, PRONACOM. Its objective is to coordinate technical efforts on the regulation of sanitary and phytosanitary measures for trade facilitation.

This proposal supported by the SEO and USDA had the purpose of establishing functions, actors and minimum principles to govern the strategic coordination in these subjects allowing the streamlining of commercial processes. The base of this agreement was the competences established in the Law of the Executive Organism. PRONACOM meant to lead the Commission as the Technical Secretariat, which expedites the announcement processes and provides the platform for support and dialogue on trade facilitation.

The objectives of the commission were:

- Identification of existing trade barriers for the food, agricultural, hydrobiological and processed products of the country.
- Definition of strategies for the gradual elimination of these barriers.
- Monitor and ensure the implementation of the Food Safety System for all exporters and importers.
- Facilitate the trade of these products with the main commercial partners.
- Establishment of a trade monitoring system.
- Facilitate inter-institutional coordination on the issue of safety.

Likewise, the creation of the Risk Analysis Unit in MAGA was proposed with the objective of strengthening the ministry's institutional capacity and supporting the strengthening of the sanitary, phytosanitary and food safety system. For this, within the framework of national and international regulations, it is necessary to create a Unit in the Ministry of Agriculture, to manage the risks derived from the process of production, handling and transportation of plant products. It stipulated that the new unit should be established as a Superior Dispatch Unit through a ministerial agreement, proposed by the SEO.

The SEOP had advances with Francisca Cárdenas Executive Director of PRONACOM, and her legal advisor to explain the involvement of various actors. As a result, PRONACOM supported the initiative, and Mrs. Cárdenas agreed with the proposal, but mentioned that the project needed the approval of the MINECO minister and vice minister, and then with the MINECO approval, the SEOP could schedule a meeting with all the interested parties.

A difficulty arose when months later, a new competitiveness commissioner, who is also the Director of PRONACOM's steering committee, reviewed the proposal and mentioned that the initiative was not of interest of PRONACOM and he suggested to leave it in standby until a new clarification on the commission's role. However, the proposal was no reviewed any more by anyone in the Government, and was put aside in PRONACOM's agenda.

D. Public Policy and Institutional Strategy with guidelines to promote the agricultural sector in Guatemala.

Related to the Public Policy and Institutional Strategy with guidelines to promote the agricultural sector in Guatemala, within the framework of the SEOP's, the research agenda proposed the development of an agricultural sector that provides the necessary conditions to support the sector growth and its competitiveness.

The diagnosis made by SEOP identified several problems related to regulations and public policies on the development of the agricultural sector. Among them, the specialists consulted in the validation workshops, prioritized the following:

- A governing ministry (MAGA) whose orientation does not allow addressing the heterogeneity of agricultural producers, with inadequate rules and high turnover in the extension service;
- A research and technology transfer system anchored to the ICTA that hinders the participation of other institutional actors;
- Lack of instruments for the management of sanitary, phytosanitary and environmental quality (guarantee exports and food safety internally and externally, soil and water management for production); and lack of public private partnerships.

Besides, the Internal Organic Regulation of the Ministry of Agriculture, Livestock and Food - MAGA⁶-, Government Agreement No. 338-2010, does not respond to the need to address the heterogeneity of agricultural actors. Therefore, the Research Agenda suggested its updating. In December 2018, SEOP opened a call for a sub grant to formulate a proposal for the public sector in Guatemala.

The SEOP sent a call for proposals to a short list of seven organizations, most of which were international. This was to formulate guidelines for a Public Policy and Strategy Guidelines for the Guatemalan Agricultural and Livestock Sectors, including the definition of relevant stakeholders' roles of in each segment of the agricultural and food sector, and an orientation to make a competitive, profitable, and sustainable sector.

The objective of that strategy was the presentation to the next elected government authorities. Nevertheless, four organizations sent offers and a selection committee selected two organizations to develop a co-designed proposal, the reduction of USAID funds obligated to stop this process.

⁶ Siglas del Ministerio de Agricultura Ganadería y Alimentación

INFORME DE PROPUESTAS RECIBIDAS POR LA CONVOCATORIA A SUB-GRANT
PARA DESARROLLAR UNA PROPUESTA DE:
LINEAMIENTOS DE POLÍTICA PÚBLICA Y ESTRATEGIA INSTITUCIONAL PARA PROMOVER EL DESARROLLO DEL SECTOR
AGRICOLA EN GUATEMALA

No.	Propuesta presentada por	Sede de la organización	Representante	Monto de la propuesta en USD
1	CIAT- Centro Internacional de Agricultura Tropical	Cali, Colombia	Ruben Echeverría ruben.echeverria@cgiar.org	178,972.00
2	IDC- Corporación de Inversiones y Desarrollo de Centroamérica, S. A.	Guatemala, Ciudad	Ligia Chinchilla ligiachichilla0@gmail.com eurrutia@idc.com.gt	96,023.87
3	RIMISP	Ciudad de México, México	Gerardo Franco Parrillat mexico@rimisp.org	99,199.00
4	IFPRI - International Food Policy Research Institute	Washington, DC, EUA	Eugenio Díaz Bonilla E.diaz-bonilla@cgiar.org	246,200.00

Otras organizaciones contactadas que no presentaron propuesta:

	Organización contactada	Contacto	Fecha convocatoria
1	CATIE - Centro Agronómico Tropical de Investigación y Enseñanza	Julio López Payés	26/9/18 y 15/10/18
2	CGIAR - red de innovación agrícola global compuesta por 15 centros de investigación. CGIAR aporta evidencia a los responsables de la formulación de políticas, innovación a los socios y nuevas herramientas para aprovechar el poder económico, ambiental y nutricional de la agricultura.	Rubén Echeverría	
3	CIRAD - Centre de coopération internationale en recherche agronomique pour le développement «centro de cooperación internacional en investigación agronómica para el desarrollo».	Florent Maraun y Pierre Bommel	

The limitation to continue with the evaluation process and qualification of offers to develop the proposal was put on standby, due to the reduction of funds from USAID.

E. Agricultural Innovation Platform as part of the National Innovation Ecosystem

Due that in the agricultural sector it was very difficult for the SEOP to work with the Ministry of Agriculture –MAGA-, derived from all the changes and stand-by strategies found in the MAGA, and in PRONACOM in the topic of SPS. The decision taken by the Chief of Party -COP- and agreed by UVG, was to focus the efforts in a new initiative to support the Innovation sub-system in Agriculture. In that order, there were various meetings with IICA, the rector of the Universidad de San Carlos de Guatemala, USAC, and FAO officials (through CDAIS), in order to create an Agricultural Innovation System, linked to the National Innovation System.

The SEOP worked with the National Innovation Ecosystem -NIE- to promote a new agricultural subsystem's articulation scheme -the Agricultural Innovation Platform-. Its objective was to provide its members with additional benefits, beyond membership in the ecosystem, constituting a space for dialogue and exchanges between agricultural subsectors, they had been lacking. The initially proposed structure

allowed members to identify bottlenecks and other issues, that once pinpointed could be solved through the articulated actions of engaged platform members interested in the improvement of the overall agricultural sector.

This platform is an opportunity to propose effective public policy based on case studies on agricultural innovation that can propose actions in terms of effective and efficient public administration in the end. The progress has been the following:

1. A conceptual framework validated, which included the presentation of the agricultural innovation platform, concept, vision, roles, among others. The initial basis for the agricultural innovation platform would be: human capital, culture, values and norms, and digital infrastructure.



2. A methodology to evaluate the innovation case studies is validated by the implementation of the evaluation of five innovation cases.
3. A brochure to socialize the platform.



As part of the detected need to innovate in agricultural practices and productive processes and chains, the work of the national subsystem of agricultural innovation can contribute to that purpose. Providing innovations information and data that allow progress in agricultural, hydro biological and forestry processes, which the Sustainable Economic Observatory and IICA lead. Currently coordinator committee composed of: SEOP, IICA, AGEXPORT, CAMARA DEL AGRO AND SENACYT are implementing actions.

8.1.1. Food and Nutrition Security -FNS-

A. Actualization of the Food and Nutrition Security Policy (POLSAN).

As for the POLSAN actualization, implemented by ASIES during 2018, consultant Mireya Palmieri. She began working on the preliminary proposal, which was agreed with the former secretary. However, the actions contained in her proposal were set on a standby due to a change of authorities in the Food and Nutrition Security Secretariat (SESAN) during early February. There was an important delay, since it took several weeks to agree on a meeting with the new Secretary and the consultant could not advance in this due the uncertainty in which decisions the new authorities will assume.

The POLSAN and its instruments were reviewed based on the strengthening of strategic and critical thinking of multi-institutional teams that integrate the public and private entities and sectors involved in the National Council for Food and Nutritional Security (CONASAN). As a result, a document with the proposal of an updated POLSAN, including systematization of implementation of mechanisms of lobbying, advocacy, and social communication aimed at government officials in central and territorial levels in Guatemala delivered and socialized in public forums within the advocacy strategy.

Recommendations made on the design and formulation of the policy included:

1. Add as a Strategic Guideline the topic of the articulation of nutrition interventions with a focus on assistance, in the short term, with those of nutrition with a development focus tending to expand social and economic opportunities in the medium and long term.
2. The policy does not adopt the critical 'life cycle' approach and, therefore, excludes groups of beneficiaries who must be guaranteed a good nutritional status, such as schoolchildren and adolescents, with strategies to promote healthy lifestyles.
3. In relation to the relevance of the interventions and their methodologies, it was generally found that the type of public offer indicated in the POLSAN is highly consistent with the nature of chronic malnutrition in children under five years old - the main nutritional problem in the country - is included in the situation analysis.

Finally, the update of the POLSAN could not be done with SESAN or CONASAN because the Secretary of SESAN determined in 2018 that they needed to identify if they were interested in this contribution, but never gave an answer. The proposal remain in uncertainty, considering that the SESAN Secretary was

not interested in working with ASIES. Therefore, the SEOP decided to implement a plan B involving civil society and make a socialization process with independent experts in the field of FNS.

B. Food and Nutrition Security Collaborative Space –EC-SAN-

The SEOP identified a strategy to support the creation of a space that contributes to the social audit and the follow-up of the issues on food and nutritional security in the country. It will also links to other actions that partners such as ASIES with the design of the Food and Nutrition Security Policy (POLSAN) and its policy instruments and FUNCAFE who will work with the strengthening of the Municipal Commissions of Food and Nutrition Security. Additionally, an important input to define this strategy was the workshop held by USAID in Antigua from October 17 to 18, 2017, in order to adapt the Global Food Security Strategy of the United States Government -GFSS- 2017-2021 to the context and priorities of Guatemala for the preparation of the Country Plan.

The senior consultant Jorge Lavarreda made an initial diagnosis for the collaborative space that included:

- A description of how to promote the collaborative work of civil society organizations.
- A synthesis of the experience of the Great National Campaign on Education.
- A preliminary proposal of an alliance on the topic of the FNS.
- A preliminary mapping of actors invited to participate in the new alliance that was named as the collaborative space in FNS.

As UVG was part of the promoting group, Jorge Lavarreda received guidelines from UVG to promote and support that initiative. It was clear that is not the responsibility of the SEOP to replace the legal mandate of other public institutions. In addition, they suggested a series of potential members for the promoter group that includes institution like FUNDAZÚCAR and INCAP.

On July 24, 2018, the first workshop with prioritized actors was held to learn about the work of the SEOP and to provide inputs to promote the establishment of a collaborative space CS on the theme of FNS. This space characterized as an independent, analytical, and multidisciplinary team of different organizations, would provide analysis and solutions to the FNS problems in the country. Key actor were from FUNDEGUA, Woku Kawoq, URC, Fundazúcar, INCAP, USAID, ASIES, FUNCAFÉ, and CSOs, in order to publicize the work of the SEO to experts in FNS.

After several meetings during 2018 – 2019, although the rich discussions in those meetings it was difficult to reach agreements with the participants, and there were difficulties in building a consensus on the best route to consolidate the collaborative space. Therefore, to obtain a roadmap for the CS- FNS a facilitator was hired to coordinate the discussion and give the CS-FNS a tool to plan their activities. Throughout the FY3, SEOP worked to reach a consolidated workspace to make proposals and analysis.



Workshop April 30/2019, for the action plan of FNS-CS



Discussion in the second roadmap workshop on May 30/2019.

Consequently, in the 4th quarter of FY3 following five previous workshops to identify the objectives and activities, in a workshop held in FUNCAFE the group finalized the FNS Collaborative Spaces' Roadmap. Nonetheless, there were very few attendants, showing that the interest from other participants decreased, yet, the meeting was productive in a deep reflection of how the space has advanced and the next steps, like the principal lessons learned in the building process of the collaborative space, reaching the following conclusions:

1. A wide space with various interests that allowed participation, but this also leads to some dispersion in terms of how each one interpreted FNS, therefore a happy medium for each of the members along a conductive thread must be found.
2. It is important to have 2 to 3 general objectives that will help new members understand a clear vision for the space.

Nowadays, the FNS Collaborative Space has a roadmap, with a mission, vision and objectives, as follows:

Mission:

We are a space of inter-institutional collaboration that has been voluntarily organized and non-profit to generate evidence-based information and influence the issue of Food and Nutrition Security in Guatemala.

Vision

Be an active Thinking Tank that provides technical and scientific information for decision making in public policy in FNS.

Actions:

1. Propose a SESAN Secretariat candidate
2. A Communication plan for sensitization
3. Formalizing de EC for making proposals
4. Propose FNS strategies at the municipal level
5. Publish and diffuse a FNS situational analysis

To achieve these five strategies, it was agreed the SEOP takes on the role of technical secretariat for the FNS collaborative space.

C. Strengthening the Municipal Commissions for Food and Nutrition Security (COMUSAN)

This project executed by FUNCAFE worked in the following actions within the framework of the COMUSAN strengthening project:

- Support the formulation of municipal policies in FNS.
- Awareness on the matter to the municipal government.
- Promote the participation of civil society in FNS issues.

With the support of SEOP and SESAN, the FUNCAFE consultants worked the following actions, within the framework of the COMUSAN strengthening project:

- Support the formulation of a municipal policy in FNS, based on a previous manual called Guide for Investments in SAN, prepared by the Maternal and Child Survival Program –MCSP-
- Sensitize the municipal government.
- Promote the participation of civil society in FNS issues.
- The consultants are working in five departments and they are holding meetings with municipal authorities, SESAN's monitors, and COMUSAN's. In each of the meetings, they are presenting the SEOP project, making an initial diagnosis on the COMUSAN's capabilities, and they are giving workshops to train the members of the COMUSAN on FNS related issues.

The SEO, through the work of FUNCAFE made significant progress on the following issues:

1. Strengthening of COMUSAN for the creation of the Municipal Food and Nutrition Security Office –OMSAN- (normative and technical framework) within the framework of the SESAN's governance strategy.
2. Accompaniment for the formulation of municipal SAN policies.

3. Support the formulation of municipal investments policies (FUNCAFÉ adapted a USAID's project⁷ framework guide for this matter).
4. Eight Municipalities in San Marcos were prioritized; 11 in Quetzaltenango; six in Huehuetenango; and five in Quiché. The municipalities in Totonicapán remain with interest to participate.

The joint work with the departmental delegates and the municipal monitors of SESAN made possible the prioritization of municipalities. The prioritization criteria were:

- Political will,
- Installed capacities and
- Absence or presence of institutions that promote political advocacy process.

In the work to support, the COCOSAN and COMUSAN of several municipalities, agreed on the steps to strengthen the participation of leaders and people of the communities. This is because of seven COCOSAN members only two were actively participating.



COCOSAN training by SESAN Monitor in Chelam,

As the strengthening of the COMUSAN consolidated, the mayor of San Miguel Ixtahuacán, San Marcos, decided to open the first *Oficina Municipal de Seguridad Alimentaria –OMSAN*. SEOP and Secretary of the SESAN for the opening ceremony on April 5th 2018. The event was held at the municipal sports hall and it was the first of many other offices opened in several municipalities with FUNCAFE support.



Inauguration of OMSAN in San Miguel Ixtahuacan, Huehuetenango

Ten OMSAN were inaugurated in the following municipalities: Cantel, Sibilia, San Miguel Sigüilá, Olinstepeque, Cajolá, Palestine de los Altos and San Carlos Sija (in the department of Quetzaltenango); San Sebastián Huehuetenango and Santa Bárbara in the department of Huehuetenango); and Sacapulas, in the department of Quiché. In Sacapulas, in addition to the inauguration of OMSAN, a PPMSAN was formalized and launched, which

contains a budget planned for a decade.

⁷ Project: Maternal and Child Survival Program -MCSP- executed by Save The Children.

OMSAN offices inaugurations

No.	Department	Municipality	Date of inauguration
1	Quetzaltenango	Cantel	January 31 2019
2	Quetzaltenango	Sibilia	February 1 2019
3	Quetzaltenango	San Miguel Sigüilá	February 4 2019
4	Quetzaltenango	Olintepeque	February 05 2019
5	Quetzaltenango	Cajolá	February 06 2019
6	Quetzaltenango	Palestina de Los altos	February 07 2019
7	Quetzaltenango	San Carlos Sija	February 08 2019
8	Huehuetenango	San Sebastián, Huehuetenango	March 26 2019
9	Quiché	Sacapulas (including FNS Municipal policy)	May 28, 2019
10	Huehuetenango	Santa Bárbara (inauguración: fue una DMSAN)	August 28 2019

The experience carried out by FUNCAFE points out that the impact that is made on municipal structures (mayor, municipal council, COMUSAN, COMUDE, etc.) must be constant, so as not to “lower the guard” and ensure that efforts become concrete products. Likewise, it is important to empower organized groups in the communities (women, youth, etc.) to act as pressure groups before the municipal authorities.

Other actions carried out by FUNCAFE that were important to strengthen its work in the field were the following:

- Mapping of actors in food and nutritional security and agricultural development, in the 5 departments prioritized: Quetzaltenango, San Marcos, Totonicapán, Huehuetenango and Quiché. These maps were important to select alliances with different actors in SAN.
- Empowerment strategy in rural development, for women, youth and representatives of indigenous peoples. The consultancy generated elements for these groups to appropriate development aspects, in their own communities
- Study of livelihood conditions in the rural area of the five departments. This study generated important elements for the development of actions.
- Communication strategy (and graphic design of communication material), which allowed to do advocacy work (advocacy), applying interpersonal communication, empathy and interactivity to persuade key actors in SAN (municipal and departmental level).

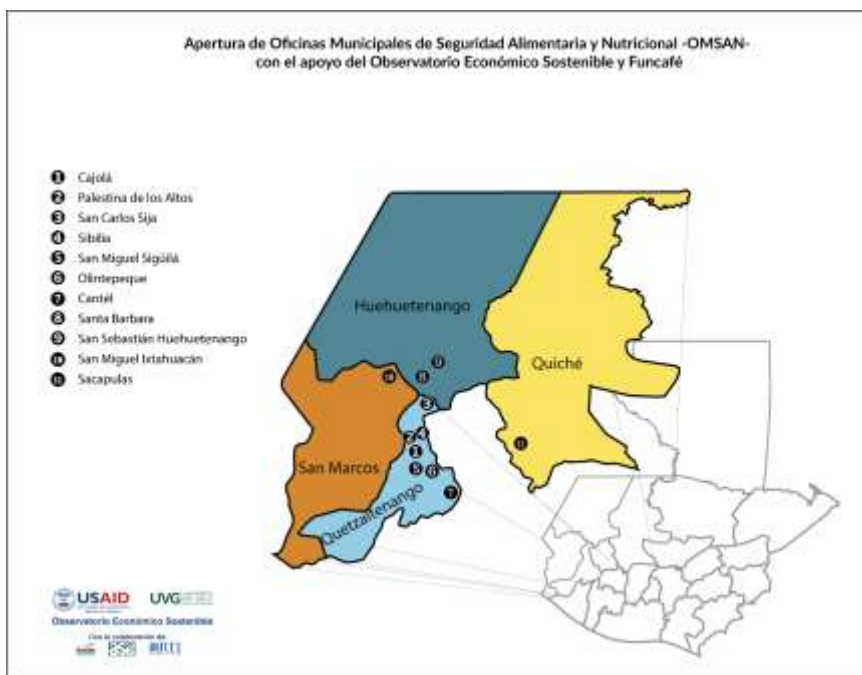
- Consulting for the methodological design and facilitation of 5 departmental workshops for empowerment in SAN with women, youth and indigenous people from the west of the country. In addition to the departmental workshops, workshops were held at the municipal level. These workshops were addressed to mayors, municipal councils, SESAN, MSPAS, MAGA, MINEDUC, COMUSAN, CODESAN, COCODE, COMUDE, Civil Society, universities and other key actors in the municipal and departmental field (among others, community leaders).



Inauguration of a Direction of SAN in Santa Bárbara, Huehuetenango August 28, 2019

Finally, it is important to mention that the SEO/FUNCAFE project staff was very “committed” and had the necessary knowledge that helped them overcome the field difficulties that arose within the execution process, which helped achieve the objectives and goals. The strategic alliances at the local level helped to achieve results: the launch of SAN municipal policies and the inauguration of OMSAN.

Nevertheless, the work stopped due to the closure of the project, but it has the potential for implementing in other municipalities where FUNCAFE worked. The interest persist in some territories for municipal policies and offices and FUNCAFE’s methodology can subsequently strengthen the communities and more OMSAN officials.



8.1.1. Competitiveness and business enable environment

In this topic the SEOP coordinated its work with the partners ASIES, *Red Nacional de Grupos Gestores* (RNGG), RTI International, as well as other key stakeholders like: PRONACOM and FUNDESA. For all the competitiveness and innovation projects, the SEOP had the following achievements:

A. Strengthening the National Innovation Ecosystem

As a first step, the SEOP developed an initial diagnose of the current innovation initiatives and experiences of the government, private sector and academy. The results showed that the weaknesses and source of opportunities of the ecosystems are related to: (a) financial resources; (b), cooperation and coordination; (c), relationship between different public policy instruments aimed to strengthening science, technology and innovation; (d), capacity building, physical infrastructure and management to support innovation with technological content; (e), consolidation of innovation programs; (f), and, investment on research, development and innovation related to productive/business sector.

With this diagnose as a baseline, the SEOP has elaborated a preliminary proposal that identifies all the key actors and activities needed to create a strong and stable ecosystem that allows competitiveness in Guatemala. To evaluate and improve this proposal, the SEOP coordinated a training workshop on March 14, 2018, with the RTI innovation team that had as an objective to share tools and information to evaluate innovation ecosystems based on international experiences and lessons learned. After the innovation ecosystem training, the UVG and RTI teams met to re-assess how RTI can play an impacting role for SEOP and its efforts to strengthen Guatemala's innovation ecosystem.

The SEOP requested RTI to shift its focus from an assessment of the ecosystem to an emphasis on action and implementation, developing a roadmap. There have been many studies on Guatemala's innovation ecosystem and there is a common understanding of its status among stakeholders. The ecosystem is missing an action plan that turns the assessments into tangible ways that champions within the ecosystem can generate greater momentum.

RTI finished the baseline assessment that review all recent reports on Guatemala's ecosystem. This small assessment included the protocol interview that the SEOP developed last quarter that provides a baseline of understanding for a roadmap.

Nevertheless, it did not include a micro and small business perspective on innovation. As a result, the SEOP defined that there are many challenges for strengthening the innovation ecosystem in Guatemala, starting with the lack of resources dedicated to education and human capital. Guatemala consistently ranks poorly based on global indicators for economic development, innovation, and competitiveness. However, there are elements of a nascent innovation ecosystem driven

by motivated entrepreneurs, public sector leaders, and academic innovators who already work and see the potential for innovation-led economic growth. This potential is serving as a call to action, to understand the current strengths and weaknesses of Guatemala and build them into a roadmap that can be impulse by the government through a strategic plan and a policy agenda.

During the formulation of the roadmap, there were participants from different actors from the public, private and academic sector. Between them advisors and members of the national innovation commission, PRONACOM, Chamber of Industry, Asociación de Gerentes de Guatemala, Agexport, Fundasistemas, Alterna Impact, Universidad Galileo, Rafael Landívar y Universidad Fransico Marroquín, UVG, ANDE, FAO, and many other organizations, foundations and projects that promote innovation and support and support accelerator and entrepreneurship programs.



Participants in the second workshop to strengthening Guatemala's National Innovation Ecosystem. Guatemala City Sep. 5/2018



Work sessions on the second innovation workshop. Guatemala City Sep. 6/2018

Regarding to support the **Support the National Competitiveness Policy (POLCOM)**, the SEOP started to work a policy with PRONACOM, and contributed in three inputs: a) the logical framework of the policy; b) the methodology to implement the policy; and, c) elaborate a communication strategy.

With the news of the funds short cut, and budget modifications, the SEOP prioritize the activities to be develop during the year three regarding to the design and implementation of work plans and projects for two of the five pillars of the roadmap:

1. Improving human capital to innovate or more fully participate in an innovative workforce.
2. Strengthening university-industry alliances.

Some planned activities were on hold, a new contract was signed, and a work plan designed for a senior consultant to develop (from September through to November) stakeholder maps and base lines; M&E matrix; work plans and project portfolios for crowdfunding.



Participants in the Roadmap presentation. Innovate Summit Guatemala Aug 23rd 2019

B. *Support the National Competitiveness Policy (POLCOM).*

Since May 2017, the SEOP worked with PRONACOM in the review of the National Competitiveness Policy, with the purpose to create the matrix for monitoring and evaluation system. The COP and the M&E specialist reviewed the logical framework and proposed a methodology to create the monitoring and evaluation system. As a result, in the same year PRONACOM officials presented the competitiveness policy with the modifications made.

Due to that support and the good working relation created, PRONACOM and the SEOP-UVG along with ASIES, signed a MoU to work in the following objectives:

- To establish an action framework for collaboration between SEOP-UVG, ASIES and PRONACOM in the promotion, implementation and monitoring of the programs and policies that promote the competitiveness of the Guatemalan economy. Particularly, in those programs and policies focused on promoting entrepreneurship and innovation.
- Collaborative work actions between PRONACOM-SEOP
- Competitiveness of Region VI and Region III - strategies at territorial level.
- National Competitiveness Policy - dissemination and construction of local strategies.
- Innovation - National innovation ecosystem, this axis is part of the national competitiveness policy.
- Corporate governance - COGUANOR Standard for voluntary actions.
- Sanitary and Phytosanitary Measures - It is proposed to create a presidential commission and with PRONACOM to review its legal status.
- Urban agenda - supported by a geographic information system that the UVG civil engineering faculty will implement.

C. *Local Economic Development and competitiveness strategies*

In this activity, two partners were involved: ASIES and RNGG. They implemented actions to comply with local competitiveness strategies.

ASIES developed a participatory process for the formulation of the competitiveness and employment strategy of Guatemala's Region VI and III. The implementation of workshops with local public and private stakeholders from the departments in each region was the center of the methodology. As a first step, to identify stakeholders and institutional support, a series of workshops were held in each department to collect their contributions to the strategy.

An important input was the mapping of key actors linked to the competitiveness of Region VI, performed by RNGG. That mapping identified through a participatory approach, all the groups and organizations present in Region VI (San Marcos, Quetzaltenango, Totonicapán, Sololá, Retalhuleu and Suchitepéquez) also identified the relationships, and the links of efforts related to competitiveness. Additionally,

diagnoses of economic potentials for the departments of Region VI developed by RNGG applying their methodology *Economic Potential Engines and Competitiveness Agendas -EPAC-*. The purpose of the study was to establish the current and potential economic drivers of each department, as well as to serve as a starting point to establish a strategy that stimulates the local economy. The Regional Competitiveness Roundtable and the Departmental Competitiveness Tables were involved, a documentary exploration was carried out for the economic diagnosis of each department, 12 consultation workshops were held and results validation with key actors.



4th Competitiveness Tables Congress. Guatemala City Sep. 6/2018

Then, ASIES formulated a strategy proposal with said contributions, and held two additional regional workshops in the Region VI but also in Region III, with stakeholders from the territories. The purpose was to validate the proposal presented, and obtain their inputs for the formation of the portfolio of strategic investment projects.

ASIES finished the strategies, in a review with PRONACOM and key actors, the document received feedback, and implemented two more regional workshops in each region to strengthen the proposal. With the contributions of the participants in workshops performed in 10 Departments, ASIES presented to PRONACOM a final report on regional competitiveness and employment strategy in the Region VI and III.

Two publications designed by ASIES to disseminate basic information on competitiveness were useful tools, one is the information sheet called *ABC on competitiveness*, and a bulletin on *Competitiveness and employment strategy of Region VI*. Those were used in forums, workshops and by other partners such as PRONACOM and FUNDESA in their activities.



RNGG played a key role in the local development and relationships with local stakeholder. RNGG sought strategic alliances with institutions such as the Municipal Directorate of Local Economic Development of Villa Nueva and with the Great Southern City Mancomunidad, as well as with the OMDELs (Municipal for Local Economic Development) to work jointly in the institutionalization of the DIMUDEL. This initiative needs to work on reforms to the Municipal Code. These alliances will make RNGG's work - through the SEOP project- sustainable over time, thanks to the support of local stakeholders and interested sectors.

RNGG also designed a *Control dashboard for the municipal offices of local economic development – OMDEL-*. This is a control panel designed to monitor the progress of the LED strategies and their impact at the municipal level, which allows improving OMDEL's intervention in its search to generate better conditions in the territories.

The situation of the OMDELs was openly analyzed, and key intervention points were identified, mainly in strengthening their technical execution. Therefore, RNGG presented a strategy to strengthen two areas: knowledge and monitoring.

As an achievement, RNGG reached an agreement with the National Association of Municipalities that will strengthen the Municipal Offices of Local Economic Development by transforming them in Municipal Directions with funds allocated to implement their work. Through this alliance, tools like the Monitoring Dashboard for OMDELs will have penetration within the Guatemalan municipal framework and improve economic conditions in the localities.

D. Proposal to generate formal employment in Guatemala

The SEOP hired consultant Felipe Girón that was in charge of the project *Dialogs to promote the generation of formal employment in Guatemala* and will coordinate all the activities.

Among the conclusions, it is possible to emphasize the following:

- Entrepreneurship classes are not transversal in the curriculum of administration sciences and middle and upper class people do not worry because they will inherit the family business.
- The way salaries are established: the minimum wage becomes the maximum salary and not a point of reference for productivity.
- The importance of citizen security, there are many costs derived from the low levels of security in the country.
- There is a fall in foreign direct investment that affects investment in the country's infrastructure.
- There is a lack of legal security.

USAID approved two policy briefs concluded by the SEOP. Those derived from the dialogues, based on the outcomes to support the proposal of public policies that will help generate formal employment in Guatemala.

E. *Complementary activities in competitiveness.*

Furthermore, the SEOP had other complementary activities for this topic:

- *A Study and analysis of public policies that promote local economic development.* This study included the review of all national proposal for economic development, and investment attraction especially in local territories. In addition, it involves the diagnosis and analysis of its objectives and implementation mechanisms. The policies selected in this study were:
 - ✓ National Competitiveness Policy 2018-2032
 - ✓ Economic Policy Plan 2016-2021
 - ✓ Industrial Policy Proposal 2016-2044
 - ✓ National Policy for Scientific and Technological Development 2015-2032
 - ✓ Entrepreneurship Policy 2015-2013

Most of them are linked indirectly to the National Competitiveness Policy, but some of the findings says that it is necessary to align them and besides look for the following:

- a. A responsible institutionality that promotes the policy and assign resources for its implementation.
 - b. Territorial capacities development that allows the National Competitiveness Policy implementation in the intermediate cities and regional nodes.
 - c. Indicators generation through monitoring and evaluation plans that shows the progress and results on the priorities that should be addressed in a short and long-term.
- *The Preliminary Plan for Road Development.* The SEOP with a new sub grant implemented by FUNDESA developed the preliminary report for the first 5 phases of; this report highlights the importance of infrastructure investment in social and economic development. Overall, a good transport system enhances efficiency and reduces cost, making the country more competitive and attractive for investors and tourists. Its purpose was the definition of a proposal for a road network that interconnects

the country's primary and secondary roads. The project shall serve as the basis and complement for updating the current Road Development Plan for the Ministry of Communications.

- *Participatory construction for the identification of local competitiveness strategies.* This activity was carried out through the implementation of seven workshops in the intermediate cities, which are indicated in the National Competitiveness Policy: Antigua Guatemala, Puerto de San José, Huehuetenango, Puerto Barrios, Zacapa, Cobán and Petén. All workshops performed under the same methodology, local actors analyzed from their respective how they perceive socioeconomic reality and the actions that promote and constrain competitiveness.

The conclusions are very similar between cities and regions, since there are similar problems, a need for common corrective actions, and common government and state intervention needs. The aspects analyzed by the local stakeholders were:

- Sectorial strategies to identify strategic sectors that are in crisis and which ones are working for the community.
- Development of local economy. To determine which the actual productive sectors are that promote employment and have growth opportunities.
- Support for productivity, this determine what is needed so that the potential, the vocation, and the current and/or future productive activities can be developed.
- Training for work. It focused on the demand from the generators of employment as well as the possibilities for local enterprises and the capacities of the Economically Active Population.



Workshop in Petén. Isla de Flores Feb. 20, 2019



Workshop in Alta Verapaz. Coban Feb. 6, 2019

As a complementary action to those workshops, ASIES contributed with a consultant who accompanied all the activities. Based on the information collected in the regional workshops to identify local development strategies. The consultant identified key variables to increase competitiveness:

- i) Access to markets: the actors indicated that it is necessary to have conditions to commercialize and capture the market value of their products in new markets.
- ii) Logistic efficiency: To achieve better prices in the transport of their merchandise to the markets, this would generate a greater impact on competitiveness, minimizing costs, and time.
- iii) Territorial organization: The growth of intermediate cities has shown disorganization in areas that are destined for housing, commerce and industry. As well as the proper use of public roads. Reaching the most effective geographic use would decrease fuel expenses and help protect natural resources.
- v) Urban mobility: population's quality of life in the localities depends -to a large extent- on the efficient use of means of communication within the intermediate city and surrounding areas. In order to have connectivity in productive linkages, it is necessary to reduce urban travel times and improve accessibility between them.



Workshop in Zacapa. Estanzuela, Jan. 24th, 2019

To prioritize the local development of intermediate cities, it was considered those that have the potential for business and productive chains to increase competitiveness:

- ✓ Tourist City of Antigua Guatemala, due to the business organization and an established productive chain structure. Strategic tourist site of the country.
- ✓ Regional Node of Huehuetenango, for the opportunities with local, regional and international markets; as well as a high commercial vocation in the department.
- ✓ Cobán Regional Node, to provide adequate conditions to increase the value added to a productive agricultural, forestry and commercial structure. As well as the sustainable use of natural resources.

The SEOP tried to implement those strategies along with the Consortium DEL⁸ but the discussions but the discussions coincided with instructions to suspend actions for the early closure of the project.

8.1.1. *Environment, Climate Change and Biodiversity*

This topic had the following projects and proposals:

A. *Guidelines for a public policy on Water Governance in Guatemala*

Since 2018, the SEOP, together with a team of experts in public policy, environmental law and in environment and water resources, worked on the design of a proposal based on national experiences from previous initiatives and successful international experiences for water governance. The model based on the Principles of the Global Water Partnership, the United Nations Declaration of Human Rights and the guidelines for water management of the Organization for Economic Cooperation and Development - OECD, which seek to define the functions of the state, property rights and participatory population management, aiming at decentralization to the lowest possible level.

Part of the failure to generate a new or effective regulatory framework on the water issue in Guatemala comes from the lack of a national public policy that provides the basic principles and guidelines to build an efficient and sustainable regulatory system. This system should minimize the already existing conflicts (pollution, scarcity, basic sanitation, rights and obligations, authority, lack of investment, climate change, between others) around water.

⁸ Consortium DEL conformed by: RGGG, URL, BCIE, Helvetas, UVG and ASIES.



Second workshop with MARN and MINFIN. Guatemala City Aug. 8/2018

The SEOP in response to the *Ministry of Finance* (MINFIN) and *Ministry of Environment and Natural Resources* (MARN), established a set of principles. The proposal socialized and validated with different key actors from both public and private sector, municipalities, NGOs, academy, women organization, indigenous peoples and experts, and based on different research process made by our local partners, included seven principles and four guidelines categories:

1. Ecologic, based on watershed management
2. Economic, based on democratic water transactions
3. Scientific certainty, based on data and update information
4. Transparency, based on governance trust
5. Participation, based on local governance
6. Arbitrage, based on conflict resolutions
7. Competences, based on a system with clear responsibilities

Guidelines:

1. Environmental guidelines: focused on human well-being, natural resources conservation and basin as an administrative unit.
2. Economic guidelines: focused on the economic value of water, economic incentives, investment and environmental services.
3. Institutional and social guidelines: focused on local participation, committees and shared responsibilities.
4. Crosscutting issues guidelines: based on indigenous peoples rights and gender inclusion

In the work with local governments such as municipalities and local governments focused on socialize and validate the SEOP proposal and establish strategic alliances, during FY3 the SEOP work with 48 *Cantones of Totonicapán*, *Mancomunidad Metrópoli de Los Altos* (MMA) from Quetzaltenango and the Metropolitan Region Water Conservation Fund (FUNCAGUA). In terms of capacity building and advocacy. Both partners, MMA and FUNCAGUA have well-established platforms with different

municipalities, which allowed more involvement and opening to work on common agendas and future projects.

The proposal was officially launched on June 11, 2019 and aims to provide inputs for the generation of local and national policies focused on the management and conservation of the resource in the country. In the presentation participated almost 100 attendants from both public and private sectors, municipalities, NGOs, academia, women's organization, indigenous peoples, and experts on water.



Official launch event of Guidelines for a public policy on Water Governance in Guatemala. Guatemala City. Jun. 11/2019

As a complement, ASIES worked in a survey on environmental issues, completed in the third quarter of fiscal year 3. The survey emphasized on climate change, water, and environmental conservation. The objective was to know the opinion of a representative sample of Guatemalan citizens and their practices on these issues. The SEOP requested this study to complement the evidence for the water governance proposal.

B. *First Report on the evaluation of knowledge on Climate Change*

Since its foundation, the SGCCC (*Sistema Guatemalteco de Ciencias del Cambio Climático* in Spanish) has as an objective to generate and review scientific information of the main components of climate change (climate, adaptation and mitigation). One of the main functions of the SGCCC is to develop periodic assessment of the country's situation on climate change issues.

Therefore, the SEOP agreed to support the research center of UVG CEAB (*Centro de Estudios Ambientales y de Biodiversidad* in Spanish), as member of the SGCCC, because considered as an important task for the country the preparation of the *First Report on the evaluation of Knowledge on Climate Change in Guatemala*. Its main objective was to evaluate the existing scientific information related to climate change as an input to plan and strengthen public policies and formulate territorial action plans in Guatemala, as well as to evaluate the current state of climatic information and analysis; analyze impacts, vulnerabilities, challenges and opportunities for C.C adaptation in Guatemala including

indigenous knowledge and practices. This report provides the baseline for the Third National Communication of Climate Change, which is a country commitment to the United Nations Climate Change Convention.

The report divided in three sections of main components of climate change (climate, adaptation and mitigation) included specific topics such as: general context, future scenarios, demography and migration, infrastructure, landscape, basins, water resources, oceans, ecosystems, biodiversity and indigenous people. The document was elaborated by a scientific committee with the coordination of a technical expert of the CEAB team.

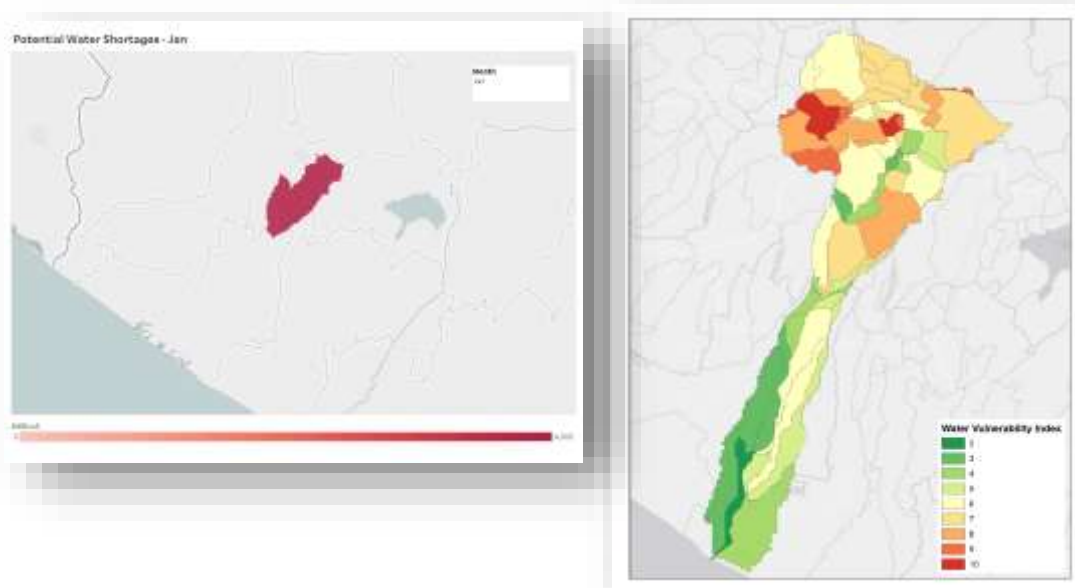
As a result, the UVG and the SGCCC counts with a document with policy analysis that identifies gaps and policy proposals aimed at making decisions about actions to face the remnants of climate change.

C. Hydrological modeling and environmental assessment –HydroBID-

The study linked spatial analytics, hydrologic modeling and economic systems modeling to conduct the hydro-economic assessment of agricultural water use in the Samalá basin. The RTI International (RTI) team first worked with SEO and UVG researchers to conduct a hydrologic assessment of the Samalá, producing a time-series of watershed flows and a water allocation “node” schematic linking upstream subcatchments to downstream subcatchments and user groups.

The hydrologic assessment framework relies on the modeling tool Hydro-BID, developed by RTI and Inter-American Development Bank. Hydro-BID is modeling system includes hydrology and climate analysis modules to estimate the availability (volumes and fluxes) of fresh water at the regional, basin, and subbasin scales (Moreda et al., 2014). The system is built on an Analytical Hydrographic Dataset (AHD) for the LAC region. Hydro-BID uses the data structure and the catchment and stream network topologies of the AHD.

In addition to modeling and analysis, RTI provided a 4-day series of training workshops to UVG-CEAB and SEO researchers that covered topics related to water resource economics and valuation, principles of hydro-economic modeling, introduction to optimization model development using the Generalized Algebraic Modeling System (GAMS), and training on how to use the hydro-economic optimization model developed under this project.



Potential Water Shortages and vulnerability Index in Samalá River

This analysis of the value of water in irrigated agriculture, evaluates the impacts of alternate model assumptions and the sensitivity of model results to these assumptions. This unique, first-of-its kind analysis in this watershed, provides key insight into the potential economic returns to agricultural production, how agriculture and household consumption compete for the same resource base, and potential household water shortages in different parts of the basin and for different months of the year.

This model showed that irrigation and value of agricultural production, is highly sensitive to climate conditions and market prices. So improving access to irrigation water can improve the economic resilience of the local agricultural system. Identification of water storage hotspots, along with the economic valuation of consumptive water use, can help policymakers understand the potential economic benefits of water storage, treatment, and distribution infrastructure that would increase access to water for different user groups during the dry season. Furthermore, this modeling was linked to a vulnerability assessment to identify hotspots where are populations are uniquely vulnerable due to high propensity for water shortage and other vulnerability factors. Such information can help prioritize investments where they have the greatest potential to reduce vulnerability.

D. *Support the Forest Concession Model in the Mayan Biosphere Reserve -RBM-*

As part of the geographical work in the Mayan biosphere reserve area, and within the topic that includes the conservation of biodiversity, the SEOP developed three actions in this line:

- *The final communication strategy of the Forest Concession Model and officially share it with ACOFOP.*

The main elements of the strategy were:

- a) Obtain consent and express will of the President of the Republic of Guatemala.
 - b) Directly persuade the National Council of Protected Areas (CONAP) to approve the extension regulation, as well as the extension of communitarian forest concession CFC contracts.
 - c) Gain the support of independent messengers and influencers for decision makers so that they understand, from another credible perspective, the importance of the concessions and the renewal of contracts.
 - d) Only if necessary, rely on media for the mass dissemination of relevant messages to decision makers.
 - e) Carry-out communication activities that bring the reality of the communities closer to decision makers, influencers, and civil society.
- *“Support for the Model of Forest Concessions of the Maya Biosphere Reserve (RBM)”*. Included in the research agenda of the Sustainable Economic Observatory, a consultancy developed by consultant Estuardo Secaira to conduct an “Existing trilateral coordination analysis in the Maya Forest between Guatemala, Mexico, and Belize”. The United States Agency for International Development (USAID) was interested in developing a long-term vision for the Maya Forest. This vision was designed and executed together with the diversity of existing agents in the area. In September 2019, and following the regional visit by officials of the United States Government who support the Prosperity pillar in the Northern Triangle countries in Central America, a meeting was held in Flores, Petén. With the aim of starting conversations on the trilateral coordination between the United States, Mexico, and Guatemala in the Maya Forest, about 25 participants attended the two-day meeting.

USAID officials from Washington, Mexico, and Guatemala participated; Mexican government officials, including representatives of the Mexican Agency for International Development Cooperation (AMEXCID) and for Guatemala, government officials and civil representatives who have a role in the area of the Maya Biosphere Reserve. At this meeting, substantial contributions were obtained, which confirmed the importance of continuing with the next steps to work together with the key agents of the Maya Forest to create a common vision and a trilateral coordination strategy.



Participants in the workshop “Strategy for trilateral coordination in the Mayan Forest”.
Flores, Petén 19-20 September, 2019

- *Video of Uaxactún Concession.* An audiovisual material about the concession in Uaxactún, Petén. The video showed the great importance of this model based on a storytelling of children from the Uaxactún school as a project made of photographs taken by the students. The video tells what it is like to live within a concession and the importance of this for the community and for the country.

E. Indigenous Vision of Water

The SEOP finished the study in charge of Asociación Sotz’il. This document systematizes some of the natural resources and water management processes under indigenous perspectives and best practices in Guatemala, specifically in the Western High Lands (Sololá and Totonicapán). The case study’s main objective is to understand successful processes carried out by organized indigenous communities for many years for the conservation and water resources management. This study identifies strengths and weaknesses, as well as how traditional and ancestral management models can guide the most recent public policy and programs proposals. Ideally, it would integrate these proposals with the bottom-up work that has already been put in practice by indigenous communities. The final document was approved by USAID in July 2019.

As a communication mechanism, Sotz’il worked on two fact sheets: a) Water Governance from the Indigenous Vision and b) Indigenous Systems for Use and Conservation of Natural Resources, both under review at USAID. Sotz’il also worked



on audiovisual material that reflects some of the main aspects of water governance models from the indigenous people's perspectives, alongside viewpoints from UVG and The Nature Conservancy experts. Additional information, details, and methodological processes can be found in the report. Complementary activities for the sub awardee were:

- Preliminary version of the SEOP Strategy for the Indigenous Peoples Participation.
- Final TOR for the Free, Prior, and Informed Consent Consultancy.
- Participation on the National Climate Change Indigenous RoundTable.



Group of participants of the workshop for capacity building of indigenous peoples.
El Tablón, Sololá, September 2019.

In other SEOP's participations is important to mention in year three the International Water Day. Many institutions carried out activities and joined efforts to carry out the *#FestivalDelAgua2019*. Different topics were addressed mainly related to access, sanitation, health, conservation, responsible consumption and good governance. The SEOP in partnership with the Metropolitan Region Water Conservation Fund (FUNCAGUA) and the Private Institute of Climate Change (ICC) carried out the first *TEDx Guatemala /City Salon* for this topic "*Current Situation of the Water in Guatemala*" where more than 400 people converged among students, experts, industries, government representatives, NGOs, activists, and civil society.



TEDxGuatemala CitySalon Edwin Castellanos UVG in his presentation. Guatemala. Mar. 22/2019

8.1.1. **Advocacy**

New guidelines given by USAID for activities during the electoral process in Guatemala in 2019, made it necessary to redefine the SEOP Advocacy Strategy in order to redirect activities. All meetings with candidates and political parties were removed from the strategy as well as the work with mayors in intermediate cities, including in the youth component of the strategy lead by ASIES.

Therefore, the actions carried out under the new strategic approach to advocacy were the following:

- The advocacy strategy was launched with two forums, one held in Guatemala City and the other one in Quetzaltenango on how to improve competitiveness in small and medium enterprises S&ME (Small and Medium Enterprises)
- The strategy for incidence and inclusion of the National Policy of Competitiveness was launched in three intermediate cities (Antigua Guatemala, Cobán and Quetzaltenango). The objective of this component was to develop processes of advocacy in social organizations, through municipal observers, to present different visions on local development and competitiveness, in order to generate concrete proposals for the benefit of these three municipalities.

Table 1. Activities in intermediate cities on National Competitiveness Policy

Activity	Hours divided by City and activity		
	Cobán	Quetzaltenango	Antigua Guatemala
Induction workshop for project presentation	2.5	2	3
Introduction to the analysis of local realities and presentation of the observation instrument.	2	2	2
National Competitiveness Policy and its relationship with each of the three municipalities.	2	2	2
Journeys for analysis and discussion of the different themes of the project	3	4	3
Participation in municipal forum on competitiveness in intermediate cities	2.5	2	2
Training for observers for election day	4	4	4
Total hours (as of June)	16	16	16

- Three Policy Briefs were drafted: i) How to improve competitiveness in small and medium enterprises; ii) Guidelines in how to update the policy for food and nutrition security and, iii) Competitiveness in intermediate cities.

Regarding the Civic Education Program carried out by the Association of Managers of Guatemala (AGG in Spanish) concluded during the second quarter of year 3. The topics of each forum were the following:

Table 2: Civic Education Program activities

Topic	Date	Speakers	Participants
Forum No. 5: Educational reform for an efficient system of public education.	January 17, 2019 in Guatemala City	Wedy Rodríguez directora Educación extraescolar Ministry of Education. Mariela Zelada, Dean of Education UVG. Moderator: Jorge Eskenasy Vice president of Empresarios por la Educación	33 participants: 48% women, 52% men; 16-25 years old = 3% 26 and more = 55% Ladinos = 100%
Forum No. 6: Enviromental Challenges for Guatemala.	January 29, 2019 Guatemala City	Oscar Núñez Director de Defensores de la Naturaleza, Edwin Castellanos Dean of the Research Institute UVG; Marco Cerezo Blandón Director of FUNDAECO. Moderator: Lilian Márquez WWF	76 participants: 49% women, 51% men. 16-25 years old = 18% 26 and more = 37% Ladinos = 89% Mayan = 4% Foreigners = 7%
Forum No. 7: Food and nutrition	February 7, 2019	Mayra Ruana Sub-secretaria Técnica de SESAN; Maritza de	142 participants: 51% women, 49% men.

security as pillars of development.	Coban, Alta Verapaz	Oliva del PMA; Fernando Paredes World Bank. Moderator: Carmen Salguero Coordinator of Mejoremos Guate/FUNDESA	16-25 years old = 4% 26 and more = 96% Ladinos = 45% Mayan = 55%
Forum No. 8: Country brand, internal promise instead of external	February 19, 2019 Guatemala City	Jorge Mario Chacón Director of INGUAT, Gabriel Biguria, AGEXPORT, Juan Carlos Tefel presiden of Chamber of Industry. Moderator: Mario López Director of AGG	60 participants: 40% women, 60% men. 16-25 years old = 2% 26 and more = 98% Ladinos = 97% Foreigners = 3%

Other kind of activities performed by ASIES in the third quarter of year 3:

F. Public Forums to present SEOP's Policy Proposals: Five forums implemented: two in Guatemala City and three others in key departments, to present to all audiences the policy proposals formulated by the SEOP. The themes presented were the following:

Table 3. Forums Implemented within the SEOP's advocacy strategy.

Forum topic	Place	Date
Routes to improve food and nutrition security in Guatemala	Guatemala	April 2 nd
	Huehuetenango	April 4 th
Competitiveness and employment strategy of region VI of Guatemala	San Marcos	May 2 nd
Guidelines for water governance in Guatemala	Guatemala	May 13 th
Challenges for adaptation and mitigation of climate change in Guatemala	Cobán, Alta Verapaz	May 16 th

As part of the youth component of the advocacy strategy, the organization Guatemala Visible held six workshops -in six departments- with university students to raise awareness about the importance of their participation in the electoral event and to follow-up on development issues through the social networks. The activities were carried-out at university venues in each locality, and each participant was given a USB stick with the Observatory's publications on the different topics of their policy agenda. The headquarters and dates of the workshops were as follows:

✓ Cobán, Alta Verapaz	May 7 th	Jutiapa	May 9 th
✓ Quetzaltenango	May 10 th	San Marcos	May 13 th
✓ Mazatenango	May 20 th	Sololá	May 21 th

8.1.1. **Capacity building and training Activities:**

With the aim of strengthening the capacity of civil society organizations and key actors and contributing to the public debate on key issues of Development.

- A. Forum in collaboration with the Development Master Program –DMP- of UVG, within its “IV Congress of Development Studies - Models and strategies of Development in Guatemala: proposals towards 2030”. This event addressed to gather inputs for the Research Agenda on the cross cutting themes: gender, indigenous peoples, youth and rural development, with participation of civil society organizations, private and public sector, students and senior consultants, to be held on August 22 in Guatemala City, and a press conference with UVG and OES, the day before on August 21.
- B. Course on Fiscal Policy for Development the SEO coordinated with the Central American Institute of Fiscal Studies, -ICEFI- and the Master in Development Program of UVG. The workshop provided fundamental and practical aspects that allowed understanding the benefits, advantages and impact of fiscal policy in the economy and how this can affect the decisions of the people who are part of it. Divided into 7 modules, 16 hours of training. Its objective was to strengthen the capacities of civil society for the analysis of public policies from the fiscal analysis to perform social audits. This formation process was implemented from September 18th to October 2th 2018. 33 participants from various institutions and experiences, including civil society organizations, academia (URL, FLACSO, USAC, UVG), research centers, NGOs, international cooperation and the private sector (FUNDESA) received their diploma for completing the training.



Group of participants in the training with ICEFI-MAEDES-SEO. Guatemala, September 2018

- C. Training on Municipal Governance. The organization was in charge of the SEOP and the Master’s Program in Development of the UVG, allied institutions were the Mancomunidad de Los Altos,

Grupos Gestores and the Association of Municipalities ANAM of the Western Highlands Region, who participated in the call and promotion. The Universidad Internaciones -UNI- hired to implement the course, provided the facilities, the logistics service. A local consultant coordinated and overviewed the execution.

The training took place from Thursday to Saturday, once a month and a conference open to the public on Thursday afternoon. Its objective was to contribute to the training of municipal and local leaders in Guatemala, with an emphasis on the acquisition of management and leadership methodologies and technologies. This course addressed to municipal officials (majors, counselors, directors of dependencies, municipal and official officers) of the departments of Quetzaltenango, Totonicapán, Huehuetenango, Quiché and San Marcos. The training had the participation of an average of 21 students, from five different municipalities. This training developed seven modules, from May to November 2018.



Participants in the 5th Module. Quetzaltenango October 25, 2018

- D. Course on planning, monitoring and evaluation based on results for the public sector. To build capacities in civil society in advocacy and social audit, the workshop was led by Paul Mauricio Villaroel, M&E specialist in public policy, evaluation, and design of business projects and current executive director of the ARU foundation in Bolivia. Participants who attended the course came from municipal technical staff, public officials, and decision makers for programs, projects, and public policy.

The workshop had a total of six sessions, three during the month of November 2018, and another three in January 2019. Each of the sessions covered theoretical activities, as well as application and case study examples based on real national scenarios



Group work presentations about Analyzing Public Policy Evaluations, Guatemala, January 22nd 2019

The workshop's main results were: supplying participants with practical tools for planning, monitoring and evaluation, capacity strengthening in terms of civil society's analysis of project cycles and key elements to include, strengthening incidence capacity with newly acquired knowledge. The workshop ended with 40 constant participants from 22 different organizations who were given a diploma for participating in six sessions a total of 24 hours of training.



Closing of the Planning and M&E in the Public Sector Course. Guatemala, January 23rd 2019

G. Capacity Building for the SEOP – PLOCA Methodology. RTI introduced the training course on Participatory Local Organizational Capacity –PLOCA -⁹ to SEOP staff. This tool engages and empowers local organizations by critically assessing their level of capacity and factors decisive to their success. The tool facilitates a self-assessment process that provides organizations an opportunity to consider their strengths and challenges to determine the priority areas that need improvement.



Training workshop on PLOCA Methodology by RTI. Guatemala May 2018

Two process implemented by the SEOP staff in this organizations:

- ✓ *Asociación para el Desarrollo Agrícola y Microempresarial –ADAM-*. It is a non-profit organization, whose fundamental purpose is to contribute to the sustainable development of the rural area; through various programs and projects aimed at the care of organized small agricultural and livestock producers. The assessment took place in Quetzaltenango with the organization, on April 2018. During the workshop, the participants engaged in discussion and came to a consensus on how to address gaps and the organization's strengths and weaknesses. In addition, we interviewed a root-based organization supported by ADAM as a beneficiary to gather more information about their work. The second day culminated in the creation of a one-year action plan focusing on activities to strengthen the performance of their organization. The last day, the team drafted the final document to review with RTI and to deliver to ADAM.
- ✓ *Red Nacional de Grupos Gestores*, which is a second level Association that integrates and coordinates the country's Grupos Gestores. Grupos Gestores are local, permanent, autonomous, nonprofit groups created under a business focus umbrella. The workshop was held on the 11th, 12th and 13th of February 2019 in Quetzaltenango, where 12 people from managerial, coordinating, technical, and even a member of the board of directors participated.

⁹ In Spanish, EPCI Evaluación Participativa de Capacidades Institucionales.



EPCI workshop with RGG. Quetzaltenango, Feb 2019



*Closing of EPCI processes with ADAM in 2018
and with RGG in 2019. Quetzaltenango*



Main conclusions are that the EPCI approach is based upon a foundational belief that organizations must be their own agents of change by internalizing their own capacities; creating and committing to their own action plans; and being accountable for their own results.

The application of the tool was highly appreciated by participants given the validation that the process allowed. ADAM and RNGG count with an action plan to improve their organizations. Both organizations were thankful and appreciated the effort, since it helped the organizations to establish their own action plan linked to the change in the business model they are now implementing

The SEOP improved the tool, by adapting the methodology to Guatemala's context. The validation with the organizations created two kinds of manuals: one for training the facilitators and the other to implement the tool with three types of organizations. An Anthropology student from UVG contributed with her graduation work to the SEOP, by systematizing and validating the tools with a grass-root organization.

7. CROSSCUTTING AND MACRO THEMES

Crosscutting issues like gender equality were relevant to all of the SEO activities and its relationship with stakeholders, partners, government, and civil society, communities in all spheres that the SEOP and its personnel had interventions. During the designing and developing the Monitoring and Evaluation Plan, SEOP built some gender indicators to provide analysis and results in all of the intervention process. The SEOP considers that the participation and inclusion of women, youth, indigenous people and rural development, in SEOP's agendas will contribute to women voice and needs been taken into account in future national policy proposals.

7.1. Gender Equality

In the second quarter of year one, SEO formulated its "Policy on Gender, Youth and Indigenous Peoples - 2017-2021". Its strategic plan for the first three years, which contains two lines of work: on one hand, actions within the SEOP as an operational entity to be implemented internally and, in the external area, consisting of all of those actions to be performed by partners and key stakeholders addressed to achieve the main objectives of SEO.

To initiate the SEOP "*Policy on Gender, Youth and Indigenous Peoples - 2017-2021*" it was held a workshop on April 25, 2017, addressed to all participants who are related to SEO, this means staff, consultants, and teams in the UVG Research Centers.

7.2. Rural Development – Local Economic Development

- *The work at the municipal level:* RNGG developed the inventory of municipalities that have Commissions for Economic Development, Tourism, Environment and Natural Resources (COFETARN) and Municipal Offices of Local Economic Development (OMDEL) also called Technical Units of Local Economic Development (UDEL), was constructed with through a telephonic census made to the 340 municipalities of the country. In each of the telephone calls, a survey, the "Governance Practices in the Promotion of the Local Economy", was addressed to the municipalities that reported COFETARN and / or OMDEL – UDEL. Afterwards, a visit was made to nine municipalities in order to make a focal group with key actors, UDEL or COFETARN officials.

Through the research, it was determined that only 75 municipalities have COFETARN, however, it must be taken into account that 200 municipalities did not respond to the information requested, and 65 indicated that they do not have a COFETARN. Nationwide, only 36 technical units were reported, which can be called OMDEL, UDEL, or with another series of name, and they present the same challenges:

1. The lack of manager or managers in COFETARN.
 2. The lack of resources allocated to the same Commission
 3. The non-existence of public policies in the area of local economic development.
- *Strengthen of the Local Economic Development Consortium.* The LED Consortium constitutes an inter institutional alliance of public entities and private companies that, operating in different fields of knowledge, research, production and development, are aligned in the common purpose of helping to Guatemala promotes tangible, sustainable and sustainable economic development, particularly necessary and urgent in communities and municipalities in the interior of the country. In order to strengthen the activities of the LED Consortium, it was designed its Strategic Plan. The plan for the LED Consortium was validated through 3 workshops made with the key actors. The plan included a SWOT analysis, a mapping of key actors and the strategic objectives for the Consortium for the 2018-2023 period.



DEL consortium workshop. Guatemala City, Jun 14/2018

7.3. Intersectionality approach

As planned for the year 2 of the project, and as an extension and actualization of the SEOP "*Policy on Gender, Youth and Indigenous Peoples*", it was held the first workshop to build capacities on the intersectionality approach in the SEO staff, partners and consultants who work for the project. The training process "**Theoretical-methodological contributions from the perspective of intersectionality**", aimed to facilitate the inter-learning and provide theoretical-methodological contributions from the perspective

of intersectionality for the analysis and preparation of proposals from the team of consultants of the SEOP. The main objectives were:

- Identify the construction and intersectional reading of statistical data.
- Recognize the legal, political and institutional framework related to women, indigenous peoples, youth and rural development.
- Provide tools to incorporate the intersectional gender perspective in planning / budgeting.
- Establish a theoretical-conceptual framework on intersectionality

The workshop presented statistical data, analyzed from the perspective of intersectionality, despite the fact that statistical production in the country lacks of analysis of gender and ethnicity. It provided an overview of the set of norms, policies and institutions that have been incorporated in the State of Guatemala in the last three decades.

7.4. Macro Themes

As part of the “Towards a New Public Procurement System” initiative, executed by ASIES in coordination with the General Directorate of State Procurement (DGAE) of the Ministry of Finance, and with the technical support of the Center for National Economic Research (CIEN). The methodological proposal for the evaluation of the national public procurement system was adopted, based on the MAPS methodology developed by the OECD.

In coordination with the Ministry of Public Finance and the Fiscal Reform and Public Procurement Project funded by USAID, this initiative sought to promote the participation and incidence of civil society, acquiring entities and suppliers in the comprehensive reform of the public procurement system. This encompasses both the formulation of a proposal for new legislation, such as the institution responsible for implementation, and the information and technological tools necessary for it.



Workshop on MAPS methodology with GOG officials, BID and ASIES. June 25-27/2019

The objective of the evaluation is to have a detailed diagnosis of the situation in the matter, and to identify gaps with respect to international standards in each area, which allows identifying elements of reform, such as inputs for the proposed new law. But due to the project funding closure, the final product was not completed by the SEOP, and only a preliminary version of the evaluation was obtained.

8. COMMUNICATION

As part of the overall Communication Strategy, SEOP and its partners have developed information documents as Factsheets and Policy briefs addressing the main issues of the project. The document of the Competitive Policy Brief was approved, and then, distributed by FUNDESA and PRONACOM. Other documents approved for printing and distribution were the following: Food Security, COFETARN study, Competitiveness in Region VI, and Indigenous Vision of Water.

The SEOP supported the dissemination of events, conferences, forums, seminars scheduled to be carried out by SEOP, UVG and other partners, including support for environmental regulation workshop for USAID partners.

The use of social media increased gradually during the life of the project due to the number of messages on Twitter, Facebook and Instagram.

A database with contacts was created to initiate the sending of electronic bulletins with the information of the SEOP.

The validation of the SEOP website (www.oes.org.gt) was completed and sent to USAID for approval.



Yassin Osman USAID, in UVG at MOUs signing in August 2018.

After an acquisition process, the agency Burson & Marsteller (Consejeros de Negocios, S. A.) was hired as the company that coordinated efforts on public relations, relations with stakeholders and support for big events.

UVG supported for academic activities related to the SEOP's main issues also in the signatures of the MOU with new partners.

A factsheet designed about the strategy of Feed the Future for the next years, as well as support in the presentation of the information in a meeting in Quetzaltenango.

The publication of an article about competitiveness in Guatemala was negotiated with the AGEXPORT magazine "Beyond Expectations".

During the last quarter of the third fiscal year, SEOP carried out very few communication activities due to the restrictions given with respect to the closure of activities.

8.1. Publications and Media Products

As part of the overall Communication Strategy, SEOP and its partners developed information documents such as: Factsheets and Policy briefs addressing the project's main issues. Documents, including digital material, have been developed and sent to USAID for approval.

The list of publications approved by USAID and sent to the Clearing House is in Annex 3.:

9. LESSONS LEARNED

- As an observatory of public policies in Guatemala, it is necessary to follow up the indicators of processes and results of the policies prioritized in the four key topics. Many different academic institutions are engaged in the elaboration of impact indicators (poverty, human development or undernourishment). The SEOP innovated as a project that started with the formulation of proposals of public policies with interventions in the economic and social development issues.
- During the meetings to present the SEOP to stake holders, a good acceptance of the Project and a shown interest on it was perceived. The attendees to those meetings but also the people who worked with the SEOP during its activities, considered it as an appropriate space to advance in the advocacy processes and for new proposals formulations.
- The consultation process with experts for the creation of the issues agenda was very productive to define the relevant research for the SEOP. For example, in the topic of development of the agricultural sector, the issues have been very general but due to these consultations, we achieve to focus the topic on: improved of the institutionality of the ministry and development of phytosanitary issues.
- The learning agenda as a reflexive process was carried out three times during the life of the project, and through a participatory and reflexive processes with the technical, administrative staff and consortium partners, analyzed the results, to improve the achievement of project's objectives.

Based on the learning agenda as a document that collects the information about the lessons learned in the project, there are two criteria to understand them: 1) The products; and 2) The project management.

First criteria: the products:

- Due to the high turnover of officials in the public sector, the lesson learned is that the SEOP must strengthen the participation and the dialogue between civil society organizations, including the private sector, with the public sector to work on processes of social transformation that can be effective over time.
- Due to the type of SEOP orientation towards public policy proposals, the consultation processes with USAID is significant in time consuming and decision making, so it should be taken into account, as well as coordinating with other US Government projects to strengthen our interventions.

Second criteria: the project management:

- The process to adjust AWP derived from the discussions with partners and other stakeholders, made the start of all actions very time consuming. This has to be considered in future planning schedules, to be more realistic with deadlines.
- One of the most important lessons, is the fact that due to the high turnover of government officials as in the case of SESAN and PRONACOM, or the change in some guidelines, as in the case of MAGA, or the lack of involvement of the governing entities such as MARN, MAGA, or the SENACYT, the strategies to move forward and minimize periods of delay in implementation could be:
 - a) Define and sign MOUs that allow as far as possible, to achieve commitments with institutional actors.
 - b) Have strong and committed alliances of civil society and the private sector, in order to advance in proposals that cannot be affected by the constant changes in institutionality.
 - c) Make concrete proposals that give significant support to the work agendas of the institutions, in order to continue advocating with new actors.
- It is necessary to include as part of the project planning, previously to the startup of the activities, a training to introduce on administrative procedures, in order to be more efficient in the execution of the program due all the approvals needed for each process.
- To make financial planning and activity monitoring more efficient, it was proposed that all projects prioritized in the issues agenda should be divided into several smaller products coded according to the nature of the product, if it's research, dissemination, training or advocacy product.



Technical meeting to discuss the SEOP's research agenda. Guatemala, March 2017

ANNEXES

ANNEX 1

Administrative and Financial Management

ANNEX 1 Administrative And Financial Management

This section submits the Sustainable Economic Observatory Project information in the financial and administrative areas during its Life of Project (LOP). The original LOP was established in the original Cooperative Agreement from September 27, 2016 to September 26, 2021 for a total amount of \$8,999,172. In the second quarter of FY2019 USAID anticipated to SEO's Direction that the additional incremental funding was not confirmed at that time, so USAID requested the SEO and their partners, to hold the activities of high level of execution planned for that quarter and the rest of the fiscal year.

Through USAID's letter dated July 3, 2019, USAID confirmed that the incremental funding with funds from fiscal years 2017 and 2018 would not be provided for several of the USAID projects funded, including the SEO. As USAID indicated in their letter, the no availability of funds in the short term had as consequence that the project had to reduce the period of performance and conducting an anticipated close out during the first or second quarter of fiscal year 2020. The whole of the project's activities were modified or reduced, including their corresponding financing, and therefore the general project's budget was reduced too.

The new period of work was established through the Modification No. 3, with a new end date on March 31, 2020. The Modification No. 3 also included changes to the Program Description, Budget and LOP funding for the project.

The other two award's previous modifications (Numbers 1 and 2) included incremental funding and changes to the C.A.'s schedule in the sections of reporting, substantial involvement, standard provisions and approval of the Branding and Marking Plan. In addition, it was included the instructions for the close-out and demobilization plan.

FINANCIAL STATUS

As of March 31, 2020, the SEO Project has executed the amount of Q36,592,175.24 equivalent in USA Dollars to the amount of \$4,705,882.02. The exchange rate average for the LOP is calculated in Q7.56/\$1, since the original project budget was estimated at an exchange rate of Q7.40/\$1, the increase in the Dollar exchange rate has given more Quetzals to the project. The 93% of the project funds disbursed were executed in local currency.

The detail of the Project's financial status will be shown in Annexes A, the Federal Financial Report; Annex A1 submits the USAID Funds Fiscal report and presents the project's cumulative financial execution, by budget line item and by earmark, it also shows the execution for the last quarter (January-March 2020). The total expenses for that quarter is estimated in the amount of Q1,947,540 equivalent in US Dollars to \$256,255. Final figures will be confirmed at the end of April 2020, when the UVG accounting department has finished the registration of the expenditures for the month of March 2020. Annex A will have the last figures as of March 31, 2020, when the UVG accounting records be updated.

Annex A2 will provide an analysis of the project execution by fiscal year, budget line item, and funding account. Totals for fiscal years 2017, 2018 and 2019 are actual information but total for FY 2020 is still pending for the months of February and March 2020, since the official reports will be generated from the UVG's accounting records in the middle of March and April 2020.

SEO STAFF

At the beginning of the project, the SEO team was planned to be integrated with eight people, in two areas of work, technical and finance-administrative. The finance-administrative area counted during the LOP with three persons level of effort dedicated full time and one person part time supporting both areas (administrative and technical) with secretarial tasks.

The technical area started with four people, full time, and during the advance of the project's actions the SEO Direction identified the need for more payroll staff, in order to supervise the subgrantees' technical activities. In this way, three junior technical were hired under the supervision of Carolina Salazar. Eleven people, of which, integrated the SEO's full team, four have been identified as key staff: the Chief of Party, the Finance Manager, the Technical Specialist and the Logistic/Communication Specialists. These four key positions have been the same during the LOP. The list of the staff including position name and dates of their contracting is included in the following table.

SEO Project Staff Summary			
	Technical Specialists	Start date	End date
1	Sigfrido Lee Leiva, Chief of Party	Oct 1, 2016	Jan 31, 2020
2	Yolanda Carolina Salazar, Technical Specialist	Oct 1, 2016	Mar 31, 2020
3	Patricia Díaz, Monitoring & Evaluation Specialist	Feb 1, 2017	Mar 1, 2017
4	Diego Salazar, Monitoring & Evaluation Specialist	Apr 3, 2017	Nov 16, 2018
5	Ingrid Nanne, Monitorin & Evaluation Specialist	May 1, 2019	Dic 31, 2019
6	Luis Fernando Arévalo, Communications Specialist	Apr , 2017	Feb 10, 2020
7	Jezyka González, Technical Assistant	Oct 2, 2017	Jan 31, 2020
8	Pablo Cabrera, Technical Assistant	Oct 2, 2017	Sept, 2019
9	Elizabeth Saloj, Technical Assistant	Ago 6, 2018	Mar 31, 2020
	Administrative Staff		
10	Karina Lam Duque, Finance Manager	Nov 16, 2016	Feb 29, 2020
11	Christa Morales Alburez, Senior Finance Assistant	Jan 2, 2017	Sept 16, 2019
12	Madeline Ayala Sipaque, Administrative Assistant	Jan 20, 2017	Mar 31, 2020
13	Herberth Eduardo Trinidad, Finance Assistant	Agost 1, 2017	Feb 14,2020

PROCUREMENT

The procurement line item has included the contracting of individual and companies to develop consultancies on the four topics worked by the SEO. This budget line item represents the 22% of the total budget. In Annex A3 is included the list of the consultancies with information regarding subject, period of performance and cost. The consultancies represent the 20% of the total LOP expended.

Other significant budget line items costs under the Procurement line item are the events: trainings, forums, launch of results and strategies, planning meetings, focus groups and workshops. The events line item represents the 16% of the Procurement line item.

Communications line item represents the 5% of the LOP budget, this line item includes: publications, Web page design and maintenance and the communications campaign, which was performed through the company Consejeros de Negocios S.A. internationally associated with Burston- Masteller. In consulting with USAID's Agreement Office, the selection of this company was done through a full and open competition process, which started in December 2017 and finalized in August 31, 2018 with the adjudication of the contract. The SEOP receipt 17 bids and the best and finals were five companies, their names are the following: Klaro Comunicaciones, Burston-Marteller, Prevolution, Soluciones Gráficas, and Tercero y Asociados. The process was conducted under the supervision of the UVG Acquisitions, UVG Marketing, and UVG Public Relationship Departments.

The contract services for the design and creation of the SEO web page and intranet was performed by Servicios de Tecnología de la Información, Garber, who started on March 6, 2018 and finished in the second quarter of FY2020.

The Audit services represents 3% over the Procurement line item. In response to the USAID's requirements, the audit covered the project's operations disbursements for the whole period of the LOP. It was performed through two audit consultancies, with two different companies, the first one with García Sierra and Associates, member of the international firm Russell Bedfor International and the second one with Arévalo Pérez, Iralda and Associates member of the international firm PKF International Limited. Both audits reported no material findings. The processes were also conducted in coordination and with the agreement of the USAID's Technical and Financial Offices at Guatemala Mission.

Other procurement and acquisitions of lower costs were for printing of documents, materials (bifoliares and trifoliares,) videos, publications and other type of informative documents on the project's topics, as well as other kind of expenditures proper of the project's activities performed under the USAID's and UVG's regulations for acquisitions. The major activities mentioned above due to their importance within the project's activities or due their higher cost of expenses under the Procurement line item and the LOP budget.

DEMOBILIZATION AND CLOSE OUT PLAN

The project's close out plan has been executed according to the actions and schedule planned included in Annex A8 and approved by USAID in their letter dated January 6, 2020.

RAPID RESPONSE FUND (RRF)

During the LOP were developed two activities under RRF line item. The activities performed were based on the RRF Manual, Section Application Procedures, other forms to be eligible for RRF financing, as request from USAID.

1. Consultancy for the elaboration of a study of technical and economic feasibility for a cocoa program in the department of Quiché.

A study on the technical and economic feasibility for cocoa production in Quiché. This study was carried out by the consultancy firm Rural Innovation. The consultants presented the results on May 30, 2018 in USAID, and the final presentation of the study was held on August 13, 2018 in Guatemala City. The work done by consultants of Rural Innovation was relevant in terms of the territory and the agronomic, economic and social analysis included in the report. The study concludes that the geographical area has the appropriate climatic conditions for the cacao cultivation, especially the communities located south of the municipality of Ixcán, the *Zona Reina* and some of Chajul. They identified at least 26 producer organizations with an interest in cultivation and land surface making cacao feasible as a productive and commercial alternative. From the cost and income analysis at producer level, they concluded that cacao might indeed be an agricultural alternative that expands and diversifies employment and income options.

2. Workshop for the USAID Environmental Compliance.

Training workshop on the Environmental Regulation 216 held on Quetzaltenango in July 16-20, 2018. In this event, there were participants from all the implementers or projects funded by USAID in Guatemala



Training workshop on USAID Regulation 216. Quetzaltenango, July 2018

COST SHARE

The SEOP team has reviewed supporting documents for the cost-share reports that the sub-grantees have submitted to the project. The cost share expected to be reported from the partners is shown below.

Cost share information	US Dollars	
Resources UVG		265,000.00
Partners' contributions		
Research Triangle Institute	78,366.68	
ASIES	131,649.56	
Funcafé	66,000.00	
Red Nacional Grupos Gestores	66,533.21	
Total Project's partners		342,549.45
Grand total		607,549.45

SUB-AWARDS

The sub-awards were adjudicated based on a Collaborative Agreement document, which was included as part of the SEO Grants Manual approved by USAID's Agreements Office. In this quarter, SEO processed one last amendment for sub-grantee Sotz'il ONG. The modification included updating of the scope of work and budget. The financial status for all the SEO sub-awards is included in Table SEO Subawards Summary.

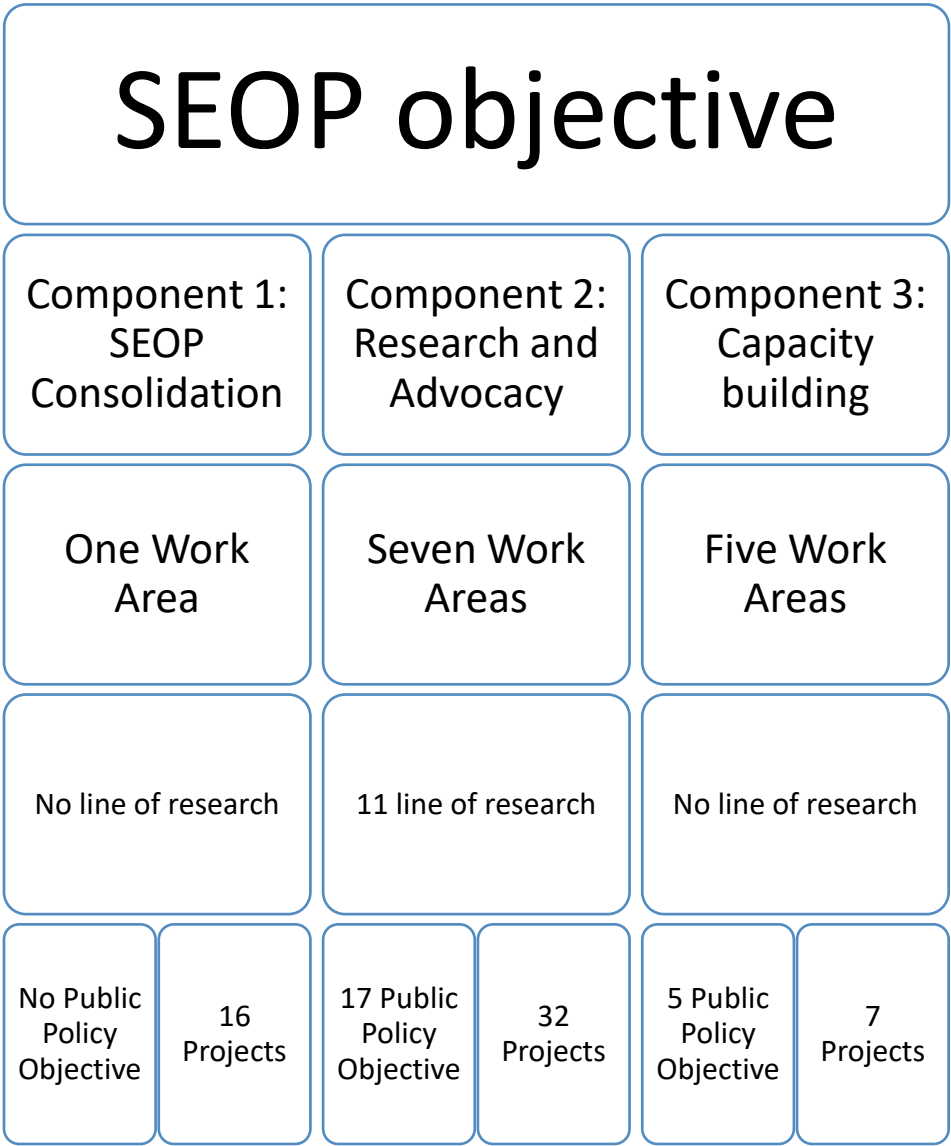
SEO Subawards Summary							
Information as of January 31, 2020 - Quarter 2 FY 2020 - Pending information for February and March 2020					Amounts in US\$		
Bud line item	Institution name	Description	Start date	End date	Modified LOP Budget	Total cumulative executed as of January 2020	% of execution over LOP
	Consortium Sub-grants						
6.1	Research Triangle Institute (RTI)	Provide capacity building across all four components, aiding in research design and analysis, and advising on organizational development	Jul-12- 2017	Dec-6-2019	535,000.00	511,224.83	95.56%
6.2	Fundación para la caficultura (Funcafé)	Standard agreement. Development of a strategy to analyze life conditions and promotion of the municipal and national policies.	May-15-2017	Oct-22-2019	350,000.00	349,270.03	99.79%
6.3	Asociación de Estudios Sociales (ASIES)	Standard agreement. Development of strategies for advocacy and strengthening of capabilities to promote the competitiveness -	Jun-15-2017	Oct-31-2019	540,073.83	536,587.10	99.35%
		Fixed price agreement: OES advocacy, public acquisitions, Confecoop program and competitiveness	Dic-7-2018	Nov-20-2019	256,086.81	217,728.93	85.02%
	Total ASIES				796,160.64	754,316.03	94.74%
	Subtotal for consortium sub-grants				1,681,160.64	1,614,810.89	96.05%
	Subgrants						
7.3	Sotz'il (amendment in process)	Strengthening of the research and analysis of the over the rights of the indigenous population related to food security, agricultural sector, and environment from the indigenous view	Apr-30-18	Mar 15,2020	163,550.98	151,610.99	92.70%
7.4	Red Nacional de Grupos Gestores (RNGG)	Implementing of activities to strength competitiveness in rural areas	Aug-31-17	Nov-30-2019	256,464.74	248,377.65	96.85%
7.6	Fundación Defensores de la Naturaleza	Creation of an alliance with the SEO to disseminate scientific information about the environment, economic, political, health and	Aug-22-18	Nov 15, 2019	4,588.20	4,577.38	99.76%
7.7	Fundación para el Desarrollo - FUNDESA	Improvement of rural conditions and food security in Guatemala	Aug-31-18	Mar-31-19	49,422.12	49,422.12	100.00%
	Subtotal for sub-grants				474,026.04	453,988.14	95.77%
	Grand total subawards				2,155,186.68	2,068,799.03	95.99%

ANNEX 2

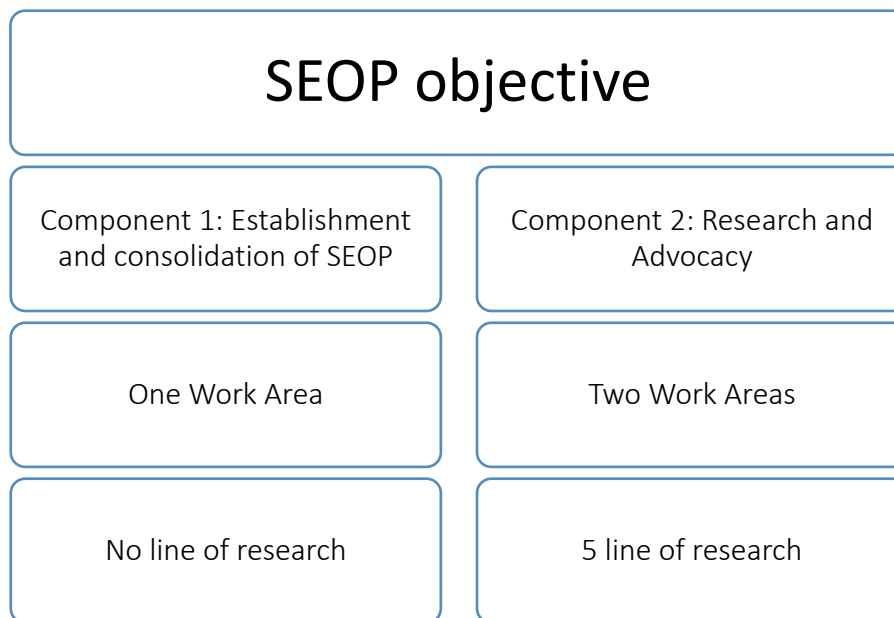
Monitoring and Evaluation

ANNEX 2 Progress on achievements of objectives. performance of indicators monitoring and evaluation

Fiscal Years 2-3



Fiscal Year 4



Detail of the monitoring of indicators of each component:

8.1.1. **Component 1: SEOP Consolidation**

This component just has one work area, SEOP consolidation, with the milestone (1.a) *"The Sustainable Economic Observatory is legally constituted"*, this will be achieved with the legal document establishing the SEOP Regarding the consolidation of the governance structure of the SEOP, the approval by the authorities of the UVG of the legal figure for the SEOP will enable the SEOP to consolidate as a research institute integrated with the university. This proposal has been presented to USAID and this will be in effect starting on April, 2020.

Following the program description, the SEOP proposed products that can be measured through the indicator *"Percentage of implementation of the Sustainable Economic Observatory as a Non-Governmental Organization"* (indicator 1.1.a). Therefore, eight lines of action were established, with a series of activities that allows the milestone (1.a) achievement.

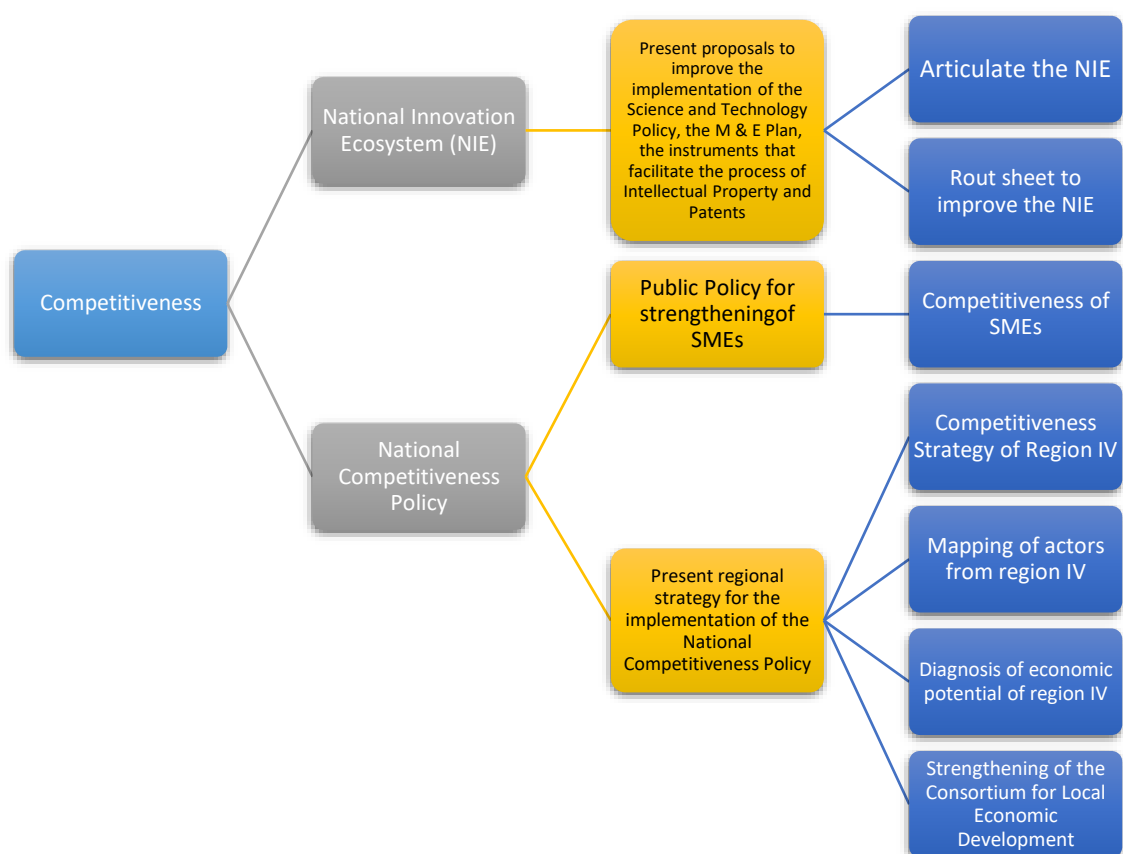
During the SEOP achieved the following cumulatively through the years:

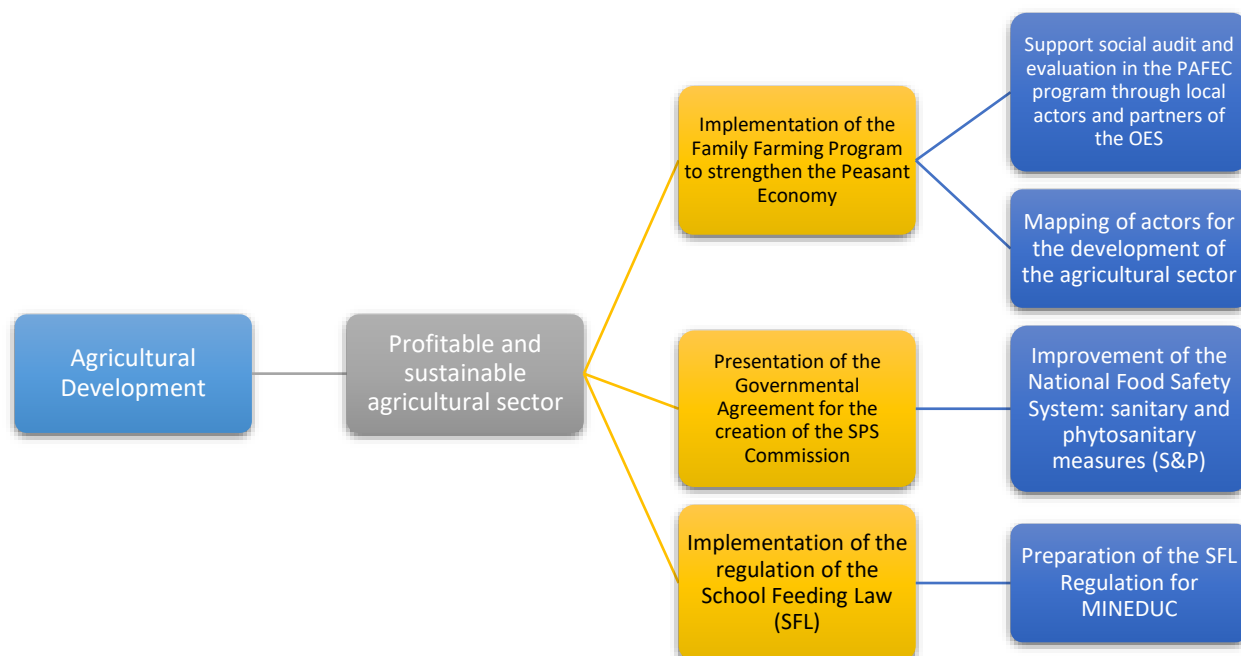
Line of actions for the indicator	Total previous years	1Qtly – FY4 2019	2Qtly- FY4 2020	Total	Means of verification
Knowledge tools that evaluate success factors, approaches and lessons learned from similar entities	3	0	0	3	Documents
Find potential interested organizations to participate in the objectives and approaches of the SEOP;	56	1	0	57	Meetings reports
Creation of documents that allow the legal constitution of the SEOP;	2	0	0	2	Legal Documents
Elaboration of procedures, manuals, publications and other documentation that allow the SEOP function;	56	0	0	56	Documents and Reports
Communications events in the strategic communication campaign that allow SEOP to be recognized as an NGO;	2	0	0	2	Communications Reports
A thematic agenda that identifies problems, prioritizes policies, laws and programs, and establishes strategic activities for the SEOP;	1	0	0	1	Document
Effective and sustained relationship with civil society and private sector partners developed;	22	0	0	22	Grants and Memorandums of Understanding
A SEOP sustainability plan.	1	0	0	1	Document
166 products planned to finish FY2.				87%	% of implementation

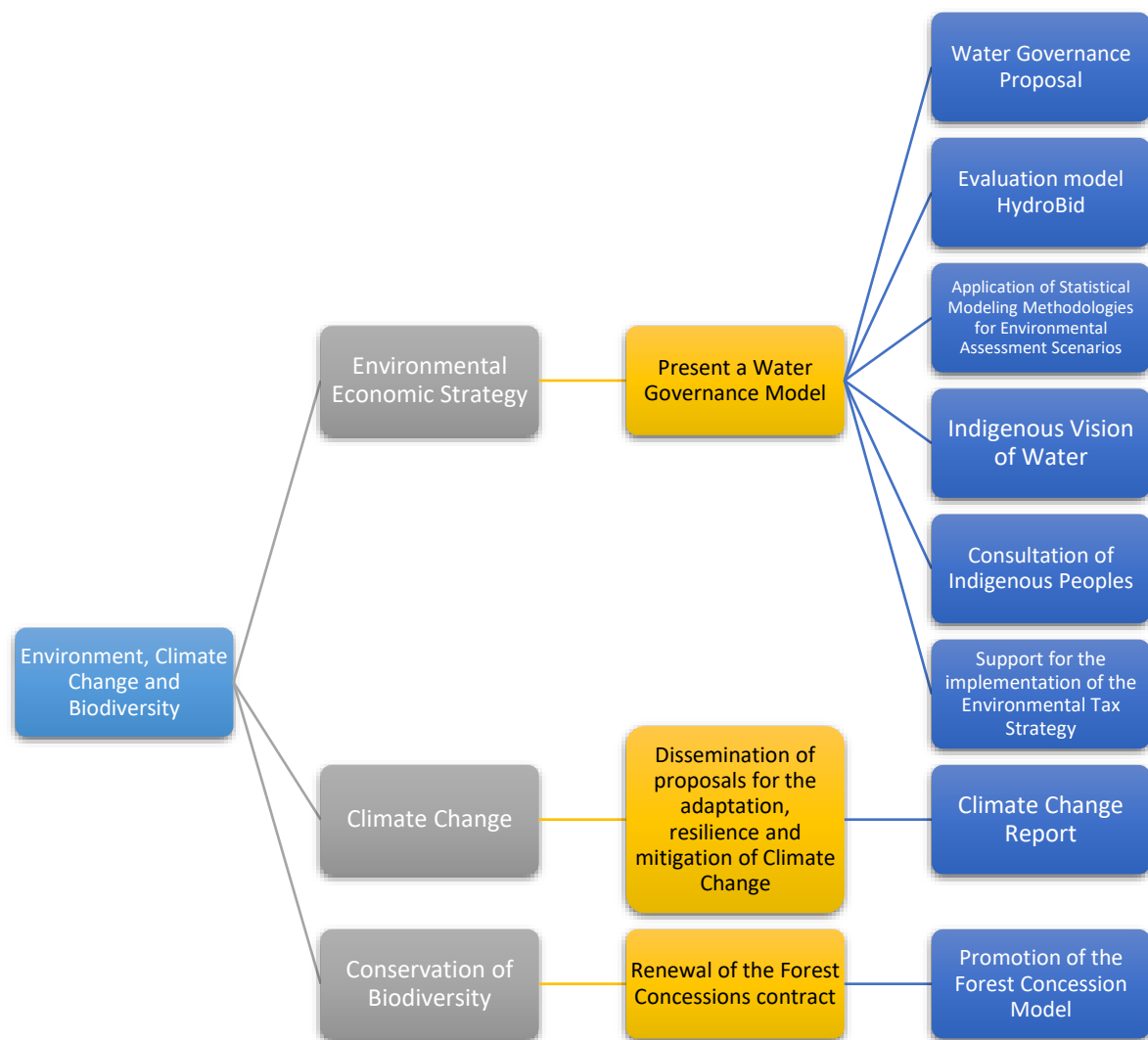
8.1.1. **Component 2: Research and Advocacy**

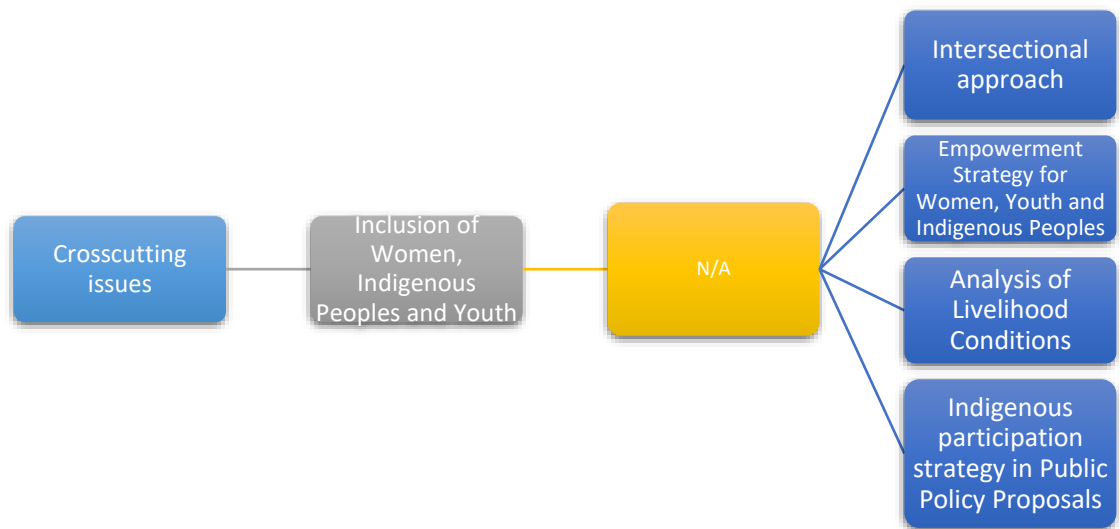
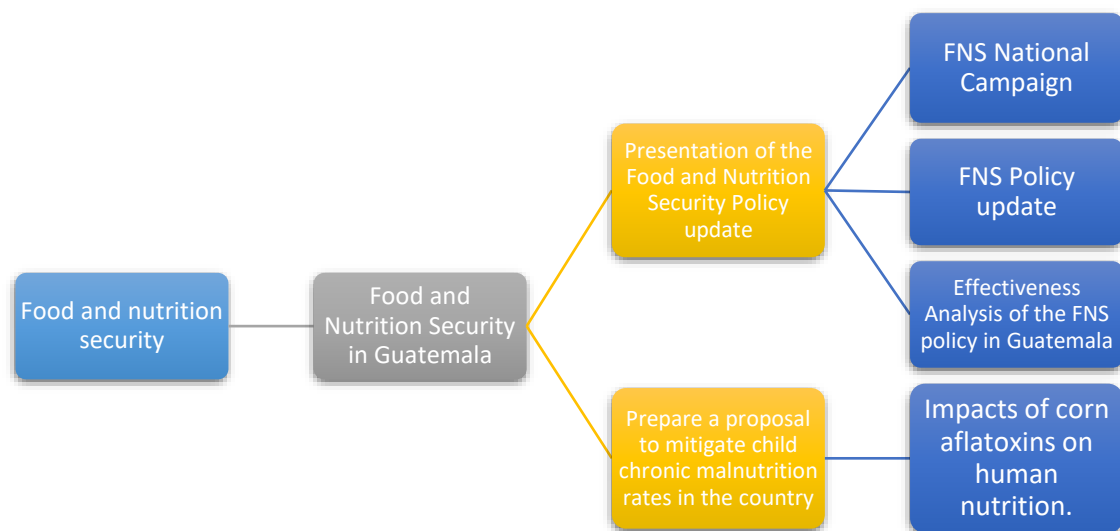
During Fiscal Year 2 this component was separated in six work areas, every work area has lines of research (grey boxes), public policy objectives (yellow boxes) and projects (blue boxes):

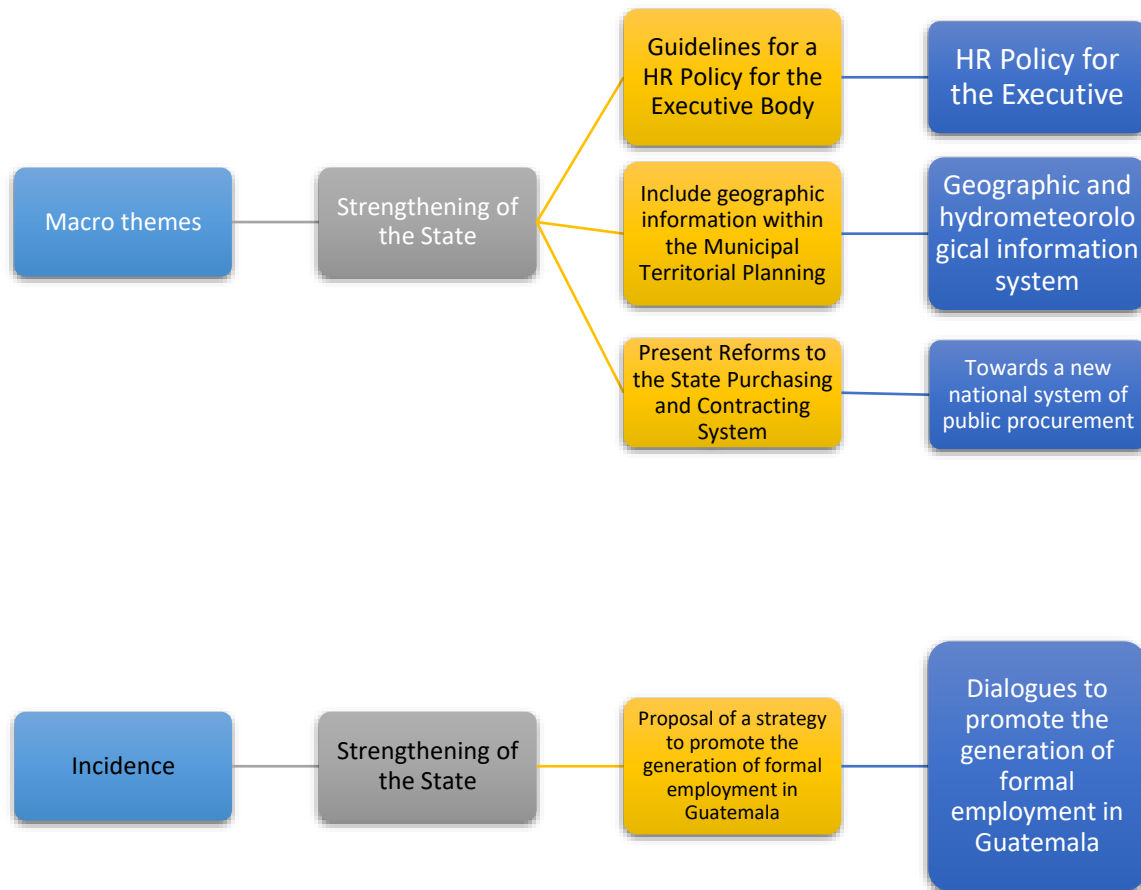
1. Competitiveness,
2. Agricultural Development,
3. Environment, Climate Change and Biodiversity,
4. Food and nutrition security,
5. Crosscutting issues,
6. Macro themes.





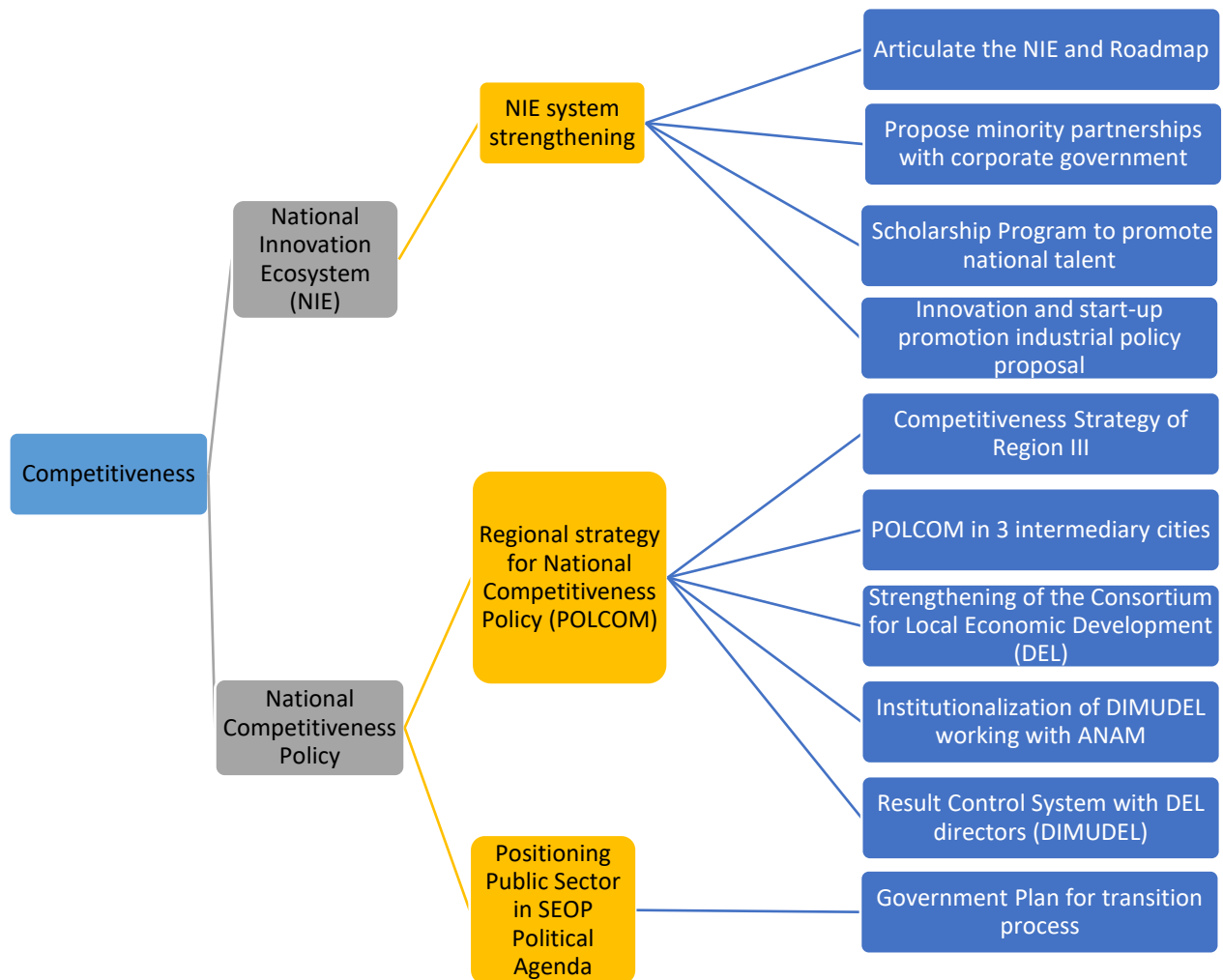


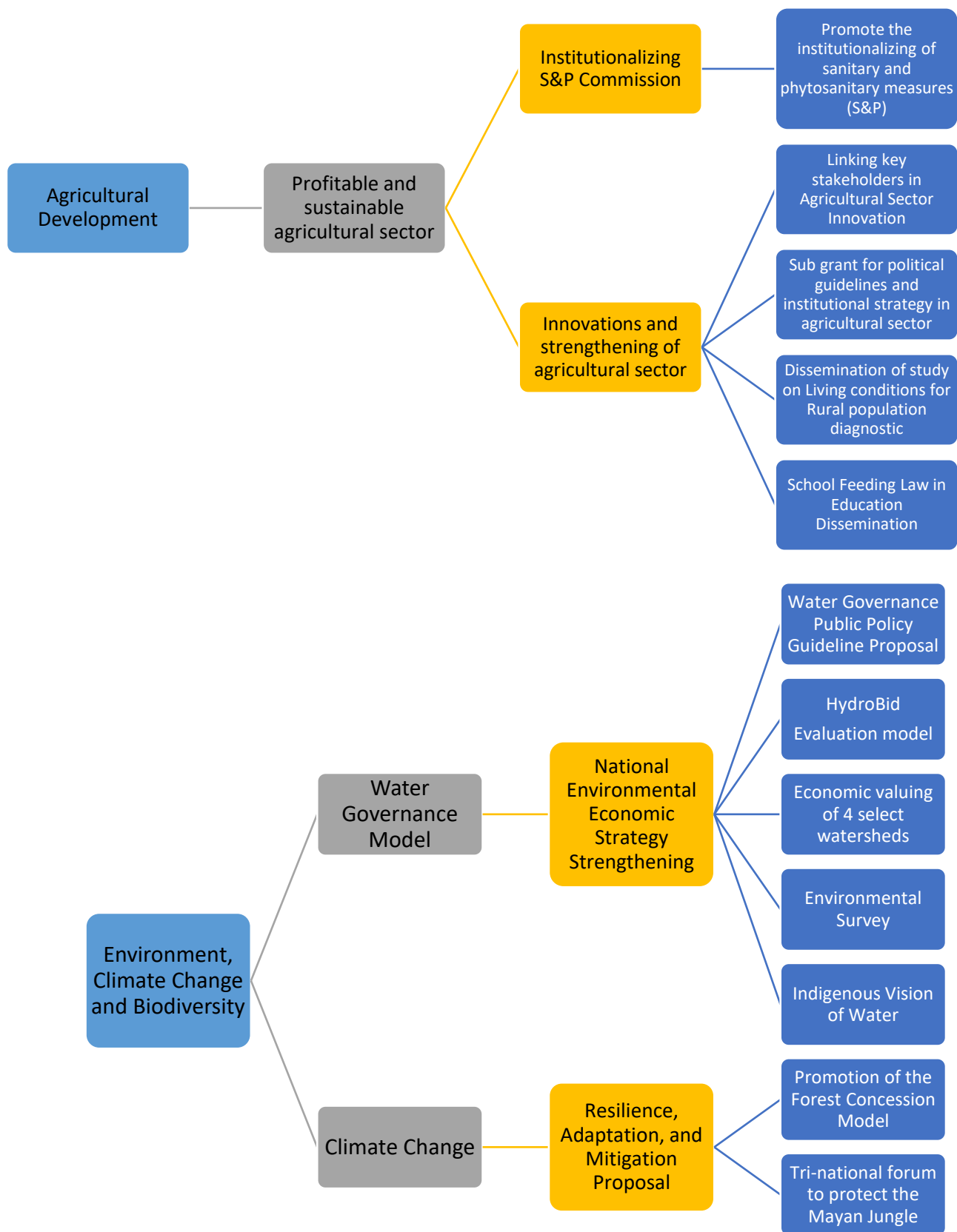


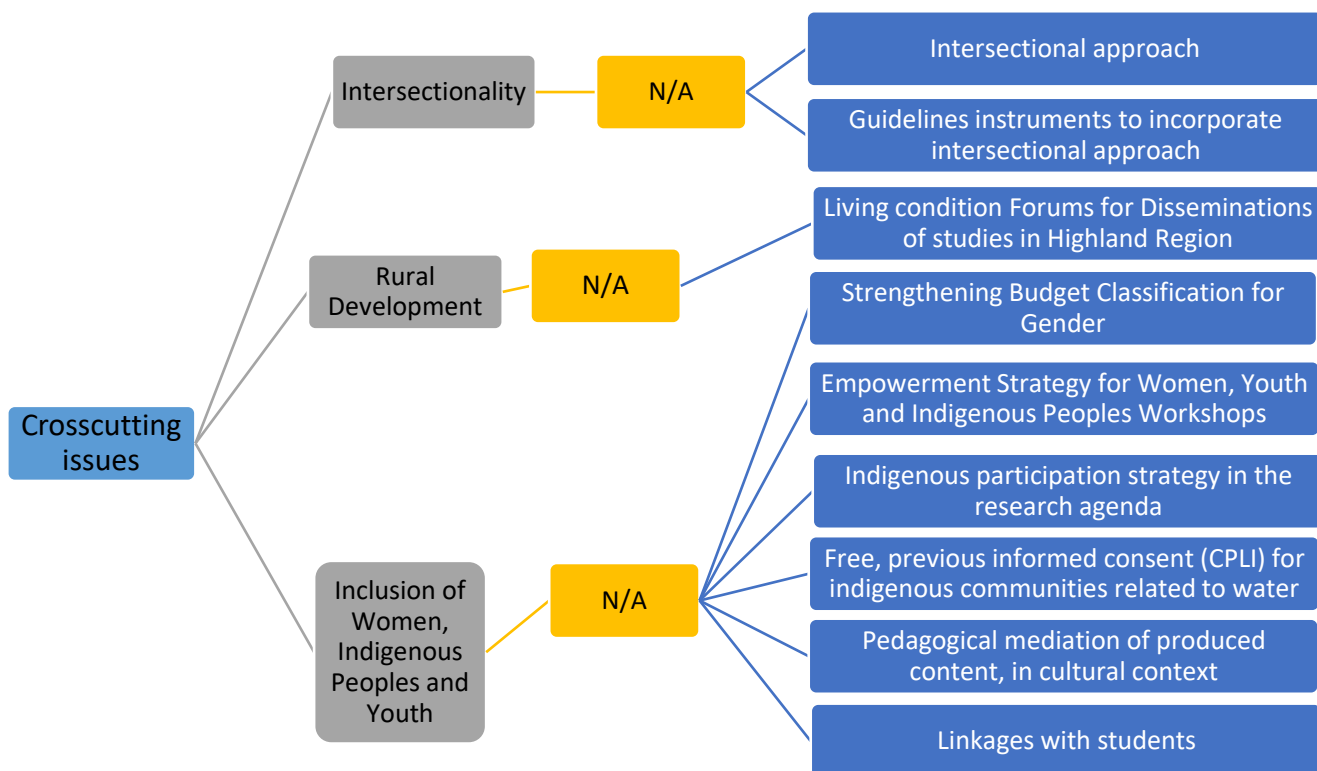
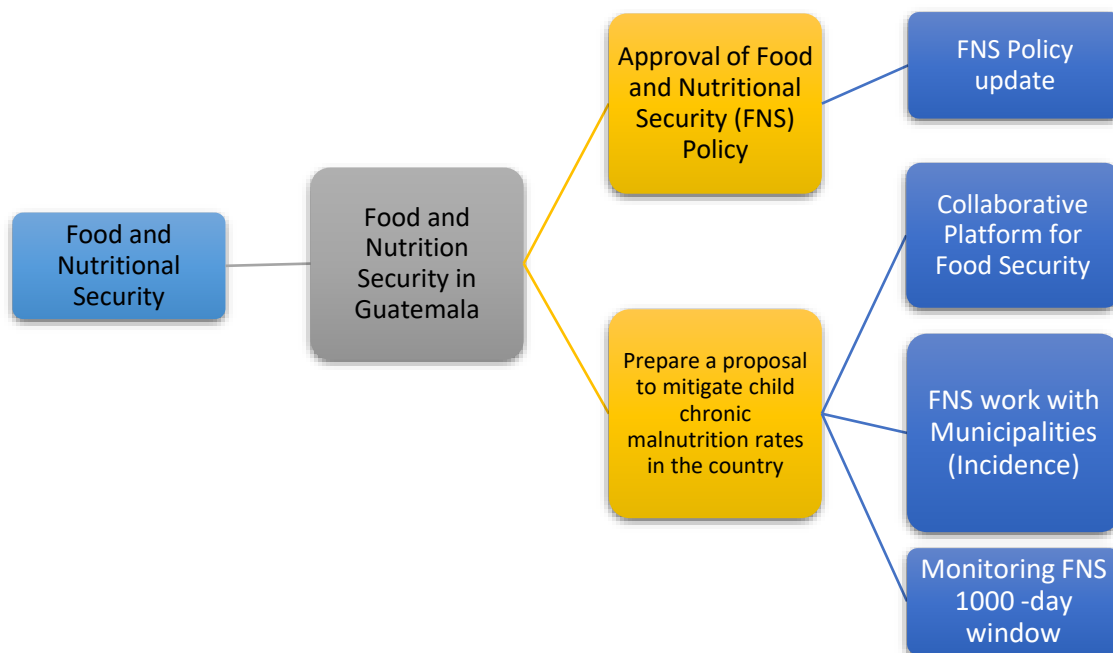


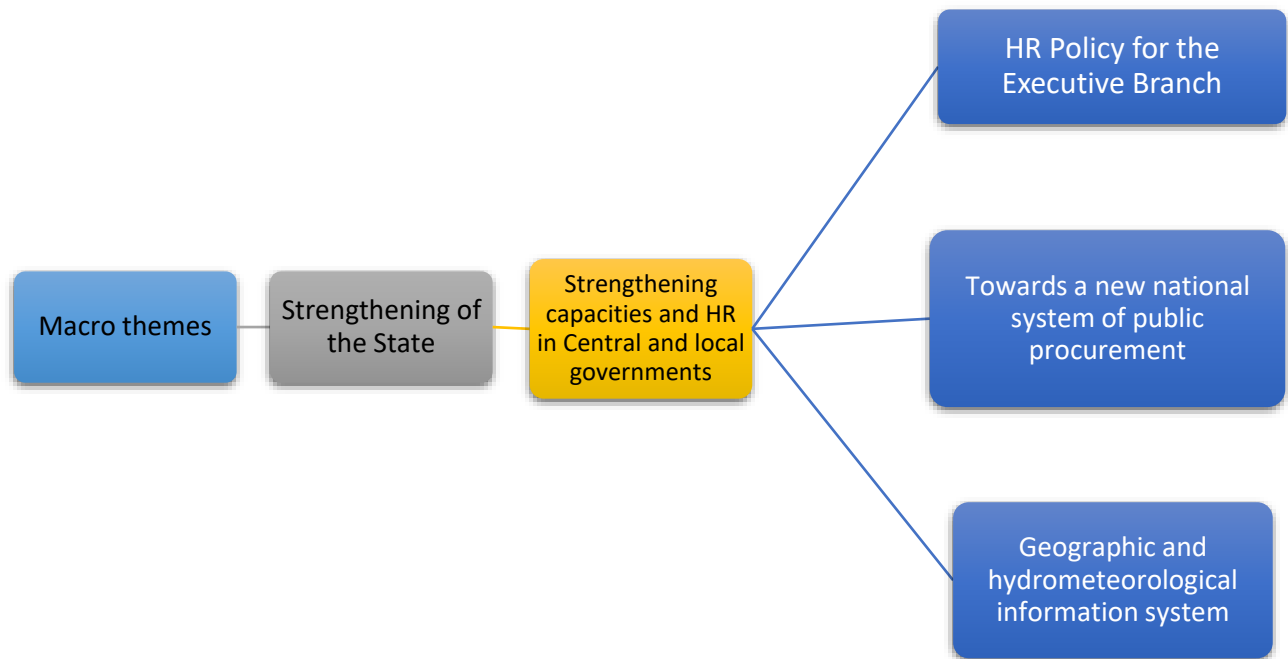
In fiscal year 3 this component is separated in six work areas. These are the areas to be covered in year 3 of the project. Every work area has lines of research (grey boxes), public policy objectives (yellow boxes) and projects (blue boxes):

7. Competitiveness,
8. Agricultural Development,
9. Environment, Climate Change and Biodiversity,
10. Food and nutrition security,
11. Crosscutting issues,
12. Macro themes.









In The 4th Fiscal Year this component was separated in two work areas. These are the areas to be covered in year 4 of the project:

- 13. Innovation and competitiveness to improve family income
- 14. Food and Nutritional safety -F&NS-

That work approach described above is presented in the following figure:

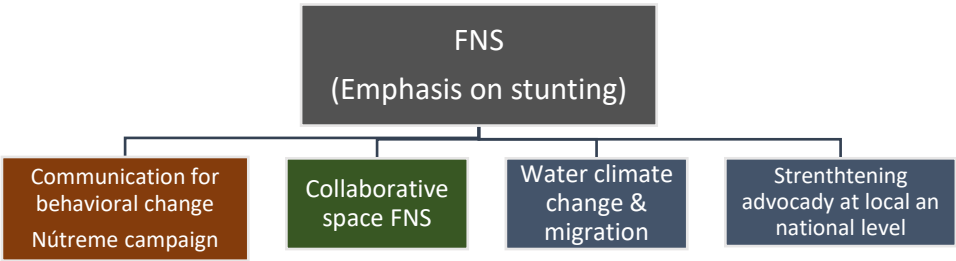


Figure 2: SEO’s FNS topic and its work areas for FY4

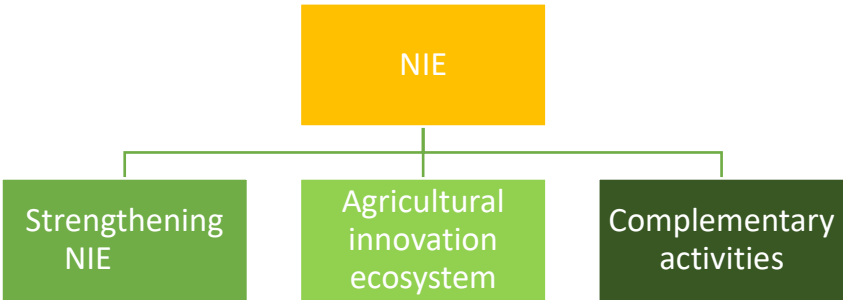


Figure 3: SEO’s Competitiveness topic and its work areas for

The indicator 2.1.a

In the indicator 2.1.a “Number of impact studies, diagnoses and thematic analyzes completed to fill the gaps in the understanding of the topics related to the agenda of research of the Sustainable Economic Observatory that considers the incorporation of gender and indigenous population”, the final count is:

Completed studies: "Number of impact studies, diagnoses and thematic analyzes completed to fill the gaps in the understanding of the topics related to the agenda of research of the SEOP that considers the incorporation of gender and indigenous population"

The studies resumed here, is the cumulative work of the entire SEOP project up to its moving into UVG in March 2020.

Work Area	Project	# products concluded	Product Created through the project
Competitiveness and enable environment for companies	Regional Strategy for implementation of National Competitiveness Policy	2 (1 st Q FY2)	Competitiveness Mapping Actors at the National Level
			The ABC of Competitiveness (Policy Brief of the National Competitiveness Policy)
		1 (2 nd Q FY3)	Towards Competitive SME's
	Stakeholder Map for Region VI	1 (3 rd Q FY2)	Preliminary version of the regional competitiveness and employment strategy for the VI region
		1 (3 rd Q FY2)	Mapping of actors from region IV
		1 (4 th Q FY2)	Inventory of Municipalities with commission of Economic Development, Tourism, Environment and Natural Resources and Municipal Offices of Local Economic Development
		1 (2 nd Q FY3)	Educational video for the Competitiveness Strategy for Region VI. (pending approval)

Work Area	Project	# products concluded	Product Created through the project
	Strengthening the National Innovation Ecosystem	2 (2 nd Q FY3)	Assessment of the National Innovation Ecosystem for Guatemala
			Public Policy Study focused on Competitiveness and Innovation Ecosystem in Guatemala
		2 (3 rd Q FY2)	Consultant: Accompanying report to CONCYT
			Roadmap for the National Innovation Ecosystem in Guatemala
		2 (1 Q FY4)	Innovation Assessment
			Innovation Roadmap Information Bulletin
	Operations Manual of Local Economic Development Offices	1 (1 st Q FY3)	Proposal to Operations Manual of Local Economic Development Offices.
	Dialogues to promote the generation of formal employment in Guatemala	1 (1 st Q FY3)	Four reports and two policy briefs: Dialogues to promote the generation of formal employment in Guatemala (finalized and pending approval)
	POLCOM in 3 intermediary cities (Support to Competitiveness Policy)	1 (2 nd Q FY3)	Intermediate Cities Competitiveness
Development of the Agricultural Sector	Implementation of the School Feeding Law in the MAGA and the MINEDUC	3 (3 rd Q FY2)	Report of the diagnosis of responsible and times of the processes identified in the current operation of the MINEDUC to apply the new School Feeding Law
			Review report of the proposed regulation and the actions suggested as necessary for its application by the MINEDUC

Work Area	Project	# products concluded	Product Created through the project
			Final report of the consultancy including other suggestions that the consultant proposes to strengthen the School Feeding program
	Presentation of the Governmental Agreement for the Creation of Sanitary and Phytosanitary Commissions	2 (3 rd Q FY2)	Proposed Government Agreement for the creation of the Presidential Commission on Sanitary and Phytosanitary Measures and Trade Facilitation.
			Consultant: Progress report on technical assistance presented to the Interinstitutional Commission for the National Food Security System
	Linking key stakeholders in Agricultural Sector Innovation	1 (1 st Q FY3)	Progress report on the technical assistance provided to the inter-institutional commission for the Agricultural Innovation in Ecosystem.
Food and Nutrition Security	FNS Policy Update	1 (1 st Q FY3)	Consultant report: Proposed Update of the National Food and Nutrition Security Policy (FNS)
		1 (2 nd Q FY3)	FUNCAFÉ FNS support documents
		1 (3 rd Q FY3)	Formulation Guide for a Municipal POLSAN, Guide for the Opening of the OMSAN, Manual of Good Agricultural Practices
		3 (1 st Q FY4)	Communications Strategy in FNS
			Policy Brief: Priority Challenge of the SAN and its approach from public policies. J.Lavarreda,
			Policy Brief: Contributions to advance in the promotion of

Work Area	Project	# products concluded	Product Created through the project
			adequate nutrition for children in Guatemala. J. Lavarreda
Environment, Climate Change (mitigation or adaptation) and conserving biodiversity	Guidelines for a National Policy for Water Management	2 (2 nd Q FY2)	Water Governance: Principles, Actors and Institutions (Draft)
			Water Governance: Principles, Actors and Institutions (Final version)
		1 (2 nd Q FY3)	Review of principles and guidelines of public policy for water governance in Guatemala
	Support for the implementation of an Environmental Tax Strategy	3 (4 th Q FY2)	First Progress Report on the support for the Environmental Tax Strategy
			Second Progress Report on the support for the Environmental Tax Strategy
			Environmental Tax Strategy approved
	Indigenous Vision of Water	2 (2 nd Q FY3)	Water Governance from the Indigenous Vision of Water Document
			Water Governance from the Indigenous Vision of Water Video
		2 (3 rd Q FY3)	Water Governance from the Indigenous Vision of Water Fact Sheet
			Sotz'il Fact Sheet on Climate Change, institutional framework and indigenous peoples in Guatemala
	Tri-national forum to protect the Mayan Jungle	1 (3 rd Q FY3)	Consultancy for Trilateral Coordination Analysis in the Mayan Biosphere Reserve

Work Area	Project	# products concluded	Product Created through the project
Crosscutting Issues	Analysis of Livelihood Conditions	1 (3 rd Q FY2)	Results of the Bibliographic Review on the Analysis of livelihood conditions of rural people in 5 departments of the western region of the country
		2 (4 th Q FY2)	Results of the structured interviews and focus groups for the analysis of livelihood conditions of rural people in 5 departments of the western region of the country
			Final report on the analysis of livelihood conditions of rural people in 5 departments of the western region of the country
	Empowerment Strategy for Women, Youth and Indigenous Peoples	2 (4 th Q FY2)	Results of the Bibliographic Review to Develop the Empowerment Strategy for women, youth and indigenous people in the rural area of 5 departments of the western region of the country
			Results of the structured interviews and focus groups to develop the Empowerment Strategy for women, youth and indigenous people in the rural area of 5 departments of the western region of the country
		1 (1 st Q FY4)	Strategies for indigenous participation in public policy
Macro themes	Geographical and Hydro meteorological Information System	2 (4 th Q FY2)	First Progress Report on the implementation of the Geographic Information System
			Second Progress Report on the implementation of the Geographic Information System

Work Area	Project	# products concluded	Product Created through the project
	Plan for Road Development	1 (4 th Q FY2)	Report of the first 5 phases of the preparation of the Preliminary Plan for Road Development
		1 (4 th Q FY3)	Strategy for Indigenous people's participation in public policy formulation. (In Review)
Incidence	Dialogues to promote the generation of formal employment in Guatemala	1 (4 th Q FY2)	First report on 4 Dialogues to promote the generation of formal employment in Guatemala
	Master Program in development	1 (4 th Q FY2)	Memory of the 2018 V Congress on Development Studies about Water

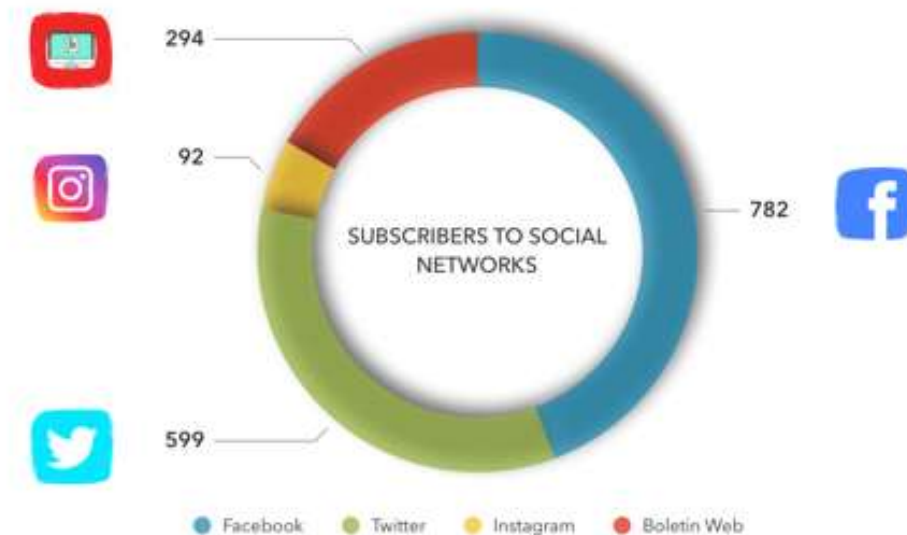
The Indicator 2.2.a

In the indicator 2.2.a "Frequency of the use of electronic platforms managed by the Observatory for accessing and exchanging information on topics related to the SEOP" the project's closure meant no more posts and therefore no movement in electronic platforms. Website will be migrated to UVG. But the last time the platforms were active in September 2019 this was the coverage

SOCIAL MEDIA REPORT SEOP

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The



indicator 2.3.a

In the indicator 2.3.a “Number of public-private investment plans designed, developed and / or implemented to promote economic and social development in rural areas in accordance with the Policies, Regulations and Government Programs contained in the Policy Agenda”, was not able to advance due to project closing.

The indicator 4.a

The indicator for the component 4 “Number of public-private partnerships formed as a result of assistance from the Government of the United States”, didn’t have progress in Fiscal Year 3, and will not have progress in year 4 due to project closing.

Indicator A

These are the instruments of public policy finished during the time occurred in the third fiscal year for the SEOP and their status:

Key Issue	Policy Agenda	Type of instrument	Status
Competitiveness	National Competitiveness Policy	Policy	Approved
	Competitiveness Strategy of Region VI	Strategy	Analyzed
	Strengthening to the National Innovation Ecosystem	Guidelines	Analyzed
Agriculture Development	Register of agricultural producers of MAGA regarding the School Feeding Law	Guidelines	Presented
	Presidential Commission for the Food Security System	Government Agreement	Analyzed
Food Security	Regulation of the School Feeding Law in the MINEDUC	Regulation	Approved
Environment	Guidelines for a National Policy for Water Management	Guidelines	Presented
	Environmental Tax Strategy	Strategy	Approved

Summary of M&E results for the Quarterly 1 of Fiscal Year 4

Indicators	Total reach	Target	Annual Performance	On Target	Comment(s)
	FY 2018 -2019	FY 2019 -2020	(%) Achieved to the End of Reporting Period	Y/N	
Indicator A Number of Policies, Laws and Government Programs analyzed, drafted and presented for public consultation of stakeholders, presented as law or decree, approved or for which implementation has been initiated, addressing the following topics: Food and nutritional security; Development of the agricultural sector; Climate change (mitigation or adaptation) and conservation of biodiversity; Competitiveness and the environment conducive to business.	8	13	61%	Y	There is no progress expected for the year due to project going to UVG
Milestone 1.a The Sustainable Economic Observatory is legally constituted.	1	1	100%	Y	*Work is beginning to move the SEOP within the UVG
Indicator 1.1.a Percentage of implementation of the Sustainable Economic Observatory as a Non-Governmental Organization (NGO).	87%	100%	87%	Y	Work advancing for SEOP integrate into UVG, other goals will not be reached
Milestone 2.a A research agenda designed and under implementation.	1	1	—	Y*	*This milestone was completed in year 1 and in implementation during FY2 through SEOPs topics and components reported along this report.

Milestone 2.b A policy agenda developed, agreed upon, and implemented with civil society groups, the GOG, the private sector, and other stakeholders.	1	1	100%	Y	Project moving into UVG
Indicator 2.1.a Number of impact studies, diagnoses and thematic analyses conducted to fill gaps in the understanding of issues related to the agenda of the Sustainable Economic Observatory that consider the incorporation of gender and indigenous population.	51	50	100%	Y	Project moving into UVG
Indicator 2.2.a Frequency - number of visits (hits) per month- of use of Observatory-managed electronic platform for access to and exchange of information about the effects of policy and external events on the economic wellbeing of the rural poor.	1	1 Web Site	100%	N	*As of September, the website was approved by USAID, and has had 240 visits
	812	600 FB	100%	Y	Project ending early and moving into UVG
	599	600 TW	99%	Y	
	27	300 YT	9%	N	
	92	300 INST	30%	N	
Indicator 2.3.a Number of public-private investment plans designed, developed and / or implemented to promote economic and social development in rural areas in accordance with the policies, regulations and government programs	0	0	0%	N	Project ending early and moving into UVG

contained in the policy agenda.					
Indicator 3.a Number of institutions/organizations, undertaking capacity/competency strengthening as a result of USG assistance.	68	20	100%	Y	Project ending early and moving into UVG
Indicator 3.1.a Score, in percent of combined key areas of organization capacity amongst USG direct and indirect local implementing partners.	25%	0%	0%	N	Project ending early and moving into UVG
Indicator 3.2.a Number of private (for-profit) enterprises, producer organizations, labor organizations, water user associations, women's groups, trade and business associations and community-based organizations receiving assistance from the United States Government.	1	4	25%	N	Project ending early and moving into UVG
Indicator 3.3.a Number of civil society individuals who have been trained on how to effectively engage local and national Guatemalan leaders, policymakers and government officials on issues related to the four development issues.	122	400	33%	N	Project ending early and moving into UVG

Indicator 3.4.a Proportion of female participants in USG assisted projects designed to increase access to productive economic resources (assets, credit, income, or employment).	0%	15%	0%	N	Project ending early and moving into UVG
Indicator 4.a Number of public-private partnerships formed as a result of United States Government assistance.	0	0	0%	N	Project ending early and moving into UVG
Indicator 4.1.a Number of governmental and legislative meetings, public debates and information exchanges sponsored by the Sustainable Economic Observatory between civil society groups and officials and legislators.	145	20	100%	Y	Meetings focused FY4 goals and componentes of moving into UVG

ANNEX 3. List of publications approved

No.	Nombre	Descripción	Tipo de documento	Tópico
1	Hoja Informativa 1 de Sotzil Cambio Climático	Publicación incluida en el contrato de Sotzil, como aporte al conocimiento sobre cambio climático	Policy brief para impresión y publicación	Medio Ambiente
2	Hoja 2 gobernanza del agua desde la visión indígena	Publicación incluida en el contrato de Sotzil, como aporte al conocimiento sobre visión indígena del agua	Boletín informativo para impresión y publicación	Medio Ambiente
3	Hoja 3 sistemas de uso y conservación de recursos naturales	Publicación incluida en el contrato de Sotzil, como aporte al conocimiento sobre uso y conservación de recursos naturales	Boletín informativo	Medio Ambiente
4	Competitividad Ciudades Intermedias	Papel de las municipalidades en la competitividad de las ciudades intermedias, de acuerdo a la PolComp. P/entregarlo en las capacitaciones sobre competitividad municipal que se realizarán en las ciudades de Cobán, Quetzaltenango y Antigua Guatemala, a realizar por ASIES, en	Policy Brief	Competitividad/Estrategia incidencia ASIES
5	Hacia PYMES competitivas	<ul style="list-style-type: none"> • Presentar la importancia de las Pequeñas y Medianas Empresas - PYMES- en la economía nacional y las mejores prácticas para apoyar su competitividad. • Entregarlo en los foros sobre competitividad de las PYMES, a realizar por ASIES el 19 y 21 de marzo y el 15 de mayo, en el marco 	Policy Brief	Competitividad/Estrategia incidencia ASIES
6	Gobernanza del Agua desde la Visión Indígena del Agua	Desarrollar y conceptualizar la visión indígena entorno al manejo del agua en los aspectos institucional, económico, social y ambiental, basado en modelos indígenas, desde su sistema de gestión integral y colectiva territorial, conocimientos, saberes y prácticas ancestrales.	Estudios de Caso de Comunidades Indígenas en Totonicapán, Sololá y Chimaltenango	Medio Ambiente
7	Revisión de principios y lineamientos de política pública para la gobernanza del agua en Guatemala	Encuesta para conocer la validación de conceptos relacionados a gobernanza del agua.	Paper artículo publicado en revista Yuam	Medio Ambiente
8	Innovation factsheet	Resumen general de ecosistema de innovación	Boletín informativo	Competitividad
9	Guía formulación POLSAN Municipal	Manual para municipalidades	Manual	SAN
10	Guía para la apertura de una OMSAN	Manual para municipalidades	Manual	SAN
11	Manual de BPAs	Manual para municipalidades	manual	Desarrollo Agrícola
12	Monitoreo Ventana de los Mil días	Monitoreo de las acciones de los puestos de salud a nivel nacional en el marco de la ventana de los mil días	Informe	SAN

No.	Nombre	Descripción	Tipo de documento	Tópico
13	PB Modelo Gobernanza del Agua	Resumen del modelo participativo con los lineamientos para la gobernanza del agua	Policy Brief	Medio Ambiente
14	Brechas de participación en la Población Económicamente Activa en Guatemala	Policy brief sobre medición de empleo y ocupación que hace la Encuesta Nacional de Empleo e Ingreso (ENEI 3-2017)	Policy brief	Competitividad y Empleo
15	Empleo formal y de calidad	Policy Brief de la consultoría de empleo formal en Guatemala, realizada por Felipe Grión	Position paper	Competitividad
16	ABC de la competitividad	Descripción sobre la competitividad	Informativo	Competitividad
17	ABC SAN	Descripción sobre la SAN	Informativo	SAN
18	Reseña del Congreso MAEDEs del agua	Resumen general de las exposiciones dadas en el Congreso MAEDES	Resumen informativo	Medio Ambiente
19	Innovation Assesment	Documento RTI/ASIES		Competitividad
20	Innovation Roadmap	Documento RTI/ASIES	Boletín Informativo	Competitividad
21	Estrategia de Comunicación de SAN	Documento solicitud USAID	documento	SAN
22	Desafío Prioritario de la SAN y su abordaje desde las políticas públicas	Policy brief del contrato de Jorge Lavarreda	Policy	SAN
23	Estrategia de Comunicación para el sistema de Concesiones generales ACOFOP y MAPEO DE ACTORES	Documentos realizados ppor el OES para ACOFOP	Documentos para concesiones forestales ACOFOP	Medio Ambiente

No.	Nombre	Descripción	Tipo de documento	Tópico
24	Hoja Informativa 4 Documento sobre la visión indígena del Agua	Resumen sobre el estudio Compilación de Sotzil sobre la visión indígena	Fact Sheet	Medio Ambiente
25	PB Aportes para avanzar en la promoción de una adecuada nutrición infantil en Guatemala	Aportes para avanzar en la SAN, incluye un análisis de los cuellos de botella	Policy	SAN
26	Estrategia de participación indígena en las políticas públicas	Documento con la propuesta de SOTZIL al OES sobre la participación de pueblos indígenas en la formulación de las políticas públicas	Estudio	Transversal de pueblos indígenas
27	Trifoliar del Primer Reporte de CC en GT - SGCCC	Trifoliar del documento del reporte de CC en Guatemala, para entregar como parte de la estrategia de divulgación del reporte.	Trifoliar	Medio Ambiente
28	Fortalecimiento de la respuesta a la desnutrición desde lo local	Historia de éxito sobre las OMSAN impulsadas por FUNCAFE	Hoja informativa	SAN